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International Criminal Court

International Criminal Court

Report of the Secretary-General

Summary

The present report is submitted pursuant to General Assembly resolution 57/23. It provides a brief account of the sessions of the Assembly of States Parties to the Rome Statute of the International Criminal Court, focusing on activities relating to the United Nations Secretariat in its capacity as provisional secretariat for the Assembly of States Parties.

* A/58/150.

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I. Introduction

1. The present report has been prepared pursuant to General Assembly resolution 57/23 of 19 November 2002, entitled "Establishment of the International Criminal Court". In that resolution the Assembly, inter alia:

(a) Took note of the report of the Secretary-General on the establishment of the International Criminal Court (A/57/403), in particular its paragraphs 12 to 15 indicating the decision of the Assembly of States Parties to the Rome Statute of the International Criminal Court to resume its first session from 3 to 7 February and from 21 to 23 April 2003 and to hold the meeting of the Committee on Budget and Finance from 4 to 8 August 2003 and the second session of the Assembly of States Parties from 8 to 12 September 2003, all at United Nations Headquarters;

(b) Recognized the need to make available, on a provisional basis, adequate resources and secretariat services for the Assembly of States Parties to enable it to discharge its functions efficiently and expeditiously;

(c) Requested the Secretary-General to undertake the preparations necessary for holding the meetings referred to in subparagraph (a) above in accordance with the rules of procedure of the Assembly of States Parties;

(d) Also requested the Secretary-General to make available to those meetings secretariat services for the necessary preparatory work as well as for any post-session follow-up actions;

(e) Further requested the Secretary-General to take steps to expand the mandate of the trust fund established pursuant to General Assembly resolution 51/207 for voluntary contributions towards meeting the costs of participation of the least developed countries in the work of the Assembly of States Parties;

(f) Decided that the costs of services rendered to the Assembly of States Parties that might accrue to the United Nations as a result of the implementation of the resolution should be paid in advance to the Organization.

II. First and second resumptions of the first session of the Assembly of States Parties

2. In accordance with its decision taken at its 3rd meeting, on 9 September 2002,[1] the Assembly of States Parties to the Rome Statute of the International Criminal Court held the first and second resumptions of its first session at United Nations Headquarters from 3 to 7 February and from 21 to 23 April 2003.

3. At its 12th meeting, on 23 April 2003, the Assembly of States Parties adopted its report,[2] containing details of its deliberations during the two resumptions of its first session. Among the important matters addressed, the Assembly conducted the election of 18 judges of the International Criminal Court in 33 rounds of balloting. The inaugural meeting of the judges was held at The Hague on 11 March 2002, on which occasion the elected judges gave their solemn undertakings under article 45 of the Rome Statute. The judges elected Judge Philippe Kirsch (Canada) as the first President of the Court. The Assembly of States Parties also elected the Prosecutor of the International Criminal Court, Luis Moreno Ocampo (Argentina), who gave his solemn undertaking at The Hague on 16 June 2003. The President and the

Prosecutor of the Court addressed the Assembly on 22 April, during the second resumption.

4. The Assembly of States Parties also elected 10 of the 12 members of the Committee on Budget and Finance and decided that the Committee would commence functions as partially constituted. It also made recommendations concerning the election of the Registrar and fixed the nomination period for members of the Board of Directors of the Victims Trust Fund. The Assembly also considered the Bureau's proposal for the meetings of the special working group on the crime of aggression and the Bureau's report on the appointment of the External Auditor. On 24 June 2003, the Judges elected Bruno Cathala (France) as the Registrar of the Court.

III. Meeting of the Committee on Budget and Finance

5. In accordance with the decision taken by the Assembly of States Parties at its 3rd meeting, on 9 September 2002,[1] the Committee on Budget and Finance, established pursuant to resolution ICC-ASP/1/Res.4 of 3 September 2002 and resolution ICC-ASP/1/Res.16 of 21 April 2003, held its first session at United Nations Headquarters from 4 to 8 August 2003.

6. The Committee conducted a technical examination of the proposed programme budget of the Court for fiscal year 2004 and submitted its comments and recommendations[3] for the consideration of the Assembly of States Parties at its second session.

IV. Second session of the Assembly of States Parties

7. In accordance with its decision taken at its 3rd meeting, on 9 September 2002,[1] the Assembly of States Parties held its second session at United Nations Headquarters from 8 to 12 September 2003.

8. At its 5th meeting, on 12 September 2003, the Assembly of States Parties received an oral report on its deliberations during the second session. The important matters addressed included the election of Serge Brammertz (Belgium) as Deputy Prosecutor of the International Criminal Court and the election of Queen Rania Al-Abdullah (Jordan), Óscar Arias Sánchez (Costa Rica), Tadeusz Mazowiecki (Poland), Desmond Tutu (South Africa) and Simone Veil (France) as members of the Board of Directors of the Trust Fund for the benefit of victims of crimes within the jurisdiction of the Court and families of such victims. Elections were also held for the two remaining members of the Committee on Budget and Finance. The Assembly considered and adopted the programme budget for the Court for fiscal year 2004. The Assembly also adopted several resolutions concerning, inter alia, the programme budget, the Committee on Budget and Finance and the recognition of the coordinating and facilitating role of the non-governmental organization Coalition for the International Criminal Court. The Assembly approved the staff regulations of the Court and decided to establish the permanent secretariat of the Assembly of States Parties. The Assembly further received a report from the special working group on the crime of aggression, which held several meetings during the session, as well as reports on the activities of the Court and of the Bureau.

V. Special fund established pursuant to General Assembly resolution 51/207

9. In accordance with paragraph 9 of General Assembly resolution 57/23, the Secretary-General took the necessary steps within the Secretariat to expand the mandate of the fund established pursuant to General Assembly resolution 51/207 of 17 December 1996 for voluntary contributions towards meeting the costs of participation of the least developed countries in the work of the Assembly of States Parties.

10. During the first and second resumptions of the first session, a total of 41 delegates benefited from the trust fund. During the second session, as well as the meeting of the Committee on Budget and Finance, 23 delegates received assistance from the trust fund. The delegates were provided with return air tickets. The Secretary-General expresses his appreciation to all countries that have contributed voluntarily to the fund.

11. At its 5th meeting, on 12 September 2003, the Assembly of States Parties adopted the following resolution concerning the establishment of a trust fund for the participation of the least developed countries in the activities of the Assembly of States Parties:

The establishment of a trust fund for the participation of the least developed countries in the activities of the Assembly of States Parties

The Assembly of States Parties,

Recalling General Assembly resolutions 51/207 of 17 December 1996 and 57/23 of 19 November 2002,

Recalling also its resolution ICC-ASP/1/Res.8 of 9 September 2002 on the provisional arrangements for the secretariat of the Assembly of States Parties,

Having decided in its resolution ICC-ASP/2/Res.__[4] to establish the secretariat of the Assembly,

1. *Requests* the Registrar to establish a trust fund under the authority of the secretariat of the Assembly for the participation of the least developed countries in the work of the Assembly and its subsidiary bodies, and calls upon States, international organizations, individuals, corporations and other entities to contribute voluntarily to the fund;

2. *Decides* to request the Secretary-General of the United Nations to close the special fund established pursuant to General Assembly resolution 51/207 of 17 December 1996, the mandate of which was expanded by General Assembly resolutions 53/105 of 8 December 1998 and 57/23 of 19 November 2002, and to take the necessary steps to facilitate the transfer, as appropriate, of any funds remaining to the trust fund established pursuant to the present resolution.

VI. Provision of secretariat services in 2003 and costs of services rendered

12. In accordance with General Assembly resolution 57/23 and guided by Assembly of States Parties resolution ICC-ASP/1/Res.8 of 9 September 2002, in 2003 the Secretariat of the United Nations continued to carry out the necessary substantive and technical secretariat functions for the Assembly of States Parties, including its Bureau, the Credentials Committee, the Committee on Budget and Finance, the special working group on the crime of aggression and other working groups established by the Assembly.

13. Notably, the Secretariat was responsible for routine communication exchanges and administrative preparations in respect of international meetings held at Headquarters. It provided the necessary conference facilities and services for and substantive servicing of all meetings of the bodies referred to in paragraph 12 above. This included the provision, as appropriate, of interpretation, translation and technical services; and the substantive preparation, editing, processing and distribution of relevant pre-, in- and post-session documentation, including reports for the first and second resumptions of the first session and the second session of the Assembly of States Parties, as well as the draft programme budget and comments and recommendations of the Committee on Budget and Finance.

14. The Secretariat was also responsible for the organization of, and administrative and logistical arrangements for, the election of the judges, including briefings on election procedures, and the election of the Prosecutor and Deputy Prosecutor, the members of Committee on Budget and Finance and the Board of Directors of the Victims Trust Fund.

15. It was also responsible for arranging other non-conference servicing requirements, including public information activities, administration of the trust fund established pursuant to resolution 51/207, travel arrangements for the beneficiaries of the trust fund and the issuance of correspondence concerning the assessment of contributions.

16. The trust fund established pursuant to paragraph 10 of General Assembly resolution 56/85 of 12 December 2001[5] to meet the expenses of the first session of the Assembly of States Parties continued to be utilized for the costs of the services rendered by the United Nations Secretariat at the subsequent meetings of the Assembly of States Parties.

17. At its 5th meeting, on 12 September 2003, the Assembly of States Parties, pursuant to its resolution ICC-ASP/1/Res.9 of 9 September 2002, decided to establish the secretariat of the Assembly of States Parties. It is expected that handover arrangements and the smooth transfer of secretariat operations will be completed by 31 December 2003. The Secretariat has already transmitted to the Registrar of the Court a complete set of the documents of the Preparatory Commission and the Assembly of States Parties in all six official languages of the United Nations, as well as copies of the official records of the Rome Conference and of the Assembly of States Parties in those six languages. The official records of the Rome Conference and the Assembly of States Parties were also transmitted in electronic format in all six languages, on three CD-ROMs.

18. Also at the 5th meeting, the Assembly of States Parties adopted the following resolution on the role of the United Nations in the establishment of the International Criminal Court.

Role of the United Nations in the establishment of the International Criminal Court

The Assembly of States Parties,

Recalling all relevant resolutions of the General Assembly relating to the establishment of the International Criminal Court, including resolution 57/23 of 19 November 2002,

Bearing in mind its resolution ICC-ASP/1/Res.8 of 9 September 2002 on the provisional arrangements for the secretariat of the Assembly of States Parties as well as its resolution ICC-ASP/1/Res.9 of 9 September 2002 on the permanent secretariat of the Assembly of States Parties,

Having decided in its resolution ICC-ASP/2/Res.__[4] to establish the secretariat of the Assembly,

1. *Acknowledges* the important role played by the United Nations in the establishment of the International Criminal Court;

2. *Expresses* its deep appreciation to the Secretary-General and Secretariat of the United Nations for their outstanding support in the establishment of the International Criminal Court, and also acknowledges with satisfaction the dedication and professionalism of the staff of the Codification Division of the Office of Legal Affairs, which served in an exemplary manner as secretariat, and in particular of the Ad Hoc Committee and Preparatory Committee on the establishment of an International Criminal Court, the United Nations Diplomatic Conference of Plenipotentiaries on the Establishment of an International Criminal Court, the Preparatory Commission for the International Criminal Court and the Assembly of States Parties to the Rome Statute of the International Criminal Court.

Notes

[1] See *Official Records of the Assembly of States Parties to the Rome Statute of the International Criminal Court, First session, New York, 3-10 September 2002* (United Nations publication, Sales No. E.03.V.2 and corrigendum), part I, para. 39.

[2] See *Official Records of the Assembly of States Parties to the Rome Statute of the International Criminal Court, First session (First and second resumptions), New York, 3-7 February and 21-23 April 2003* (United Nations publication, Sales No. E.03.V.8).

[3] See ICC-ASP/2/7 and Corr.1.

[4] See ICC-ASP/2/L.5; the resolution will be numbered in the final report of the second session of the Assembly of States Parties, New York, 8-12 September 2003.

[5] See A/C.6/56/L.25 for the programme budget implications of the resolution.

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Developments in the field of information and telecommunications in the context of international security

Developments in the field of information and telecommunications in the context of international security

Report of the Secretary-General

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I. Introduction

1. In paragraph 3 of its resolution 57/53 on developments in the field of information and telecommunications in the context of international security, the General Assembly invited all Member States to continue to inform the Secretary-General of their views and assessments on the following questions: (a) general appreciation of the issues of information security; (b) definition of basic notions related to information security, including unauthorized interference with or misuse of information and telecommunication systems and information resources; and (c) the context of relevant international concepts aimed at strengthening the security of global information and telecommunication systems. In paragraph 4 of the resolution, the General Assembly requested the Secretary-General to consider existing and potential threats in the sphere of information security and possible cooperative measures to address them, and to conduct a study, with the help of a group of governmental experts to be established in 2004 and whose members would be appointed by him on the basis of equitable geographical distribution, as well as with the help of Member States in a position to render such assistance, and to submit a report on the outcome of the study to the General Assembly at its sixtieth session.

2. By a note verbale dated 18 February 2003, all Member States were invited to inform the Secretary-General of their views and assessments on the subject. To date, seven replies have been received, the texts of which are reproduced in section II below. Additional replies received will be issued as addenda to the present report.

II. Replies received from Member States

Bolivia

[Original: Spanish]
[17 June 2003]

Developments in the field of information and telecommunications in the context of international security

1. Bolivia is concerned that technological developments could be used for purposes that are incompatible with international stability and security and that have a negative effect on the integrity of the State, in particular its military and civil security.

2. It is essential to make sure that information technology resources are not used for criminal or terrorist purposes.

3. Accordingly, Bolivia wishes to set out the following basic criteria concerning information security and unauthorized interference in related systems:

The importance of information

4. When we speak of information we are referring, directly or indirectly, to information technology and telecommunication systems (new technologies, new software, new hardware, new ways of elaborating ever more consistent, reliable and speedy information) and, in particular, the risk and security of such systems.

5. We should bear in mind that the place where information is centralized can often be very secure and, at the same time, very vulnerable.

6. Given the vulnerability of telecommunications, particular attention should be given to the Internet and telephone services. The Internet is directly related to information technology systems. Telephone services are divided into cellular and land line services. Cellular services share a common transmitting space, where radio waves travel, and where users are immersed in telephone traffic and interception.

Overview of offences relating to information system

7. Incidental and accidental offences committed using computers and receivers have increased in gravity, form and diversity. Nowadays, most offences are discovered accidentally (fraud, counterfeiting and the sale of information).

8. Regarding the management of information systems, we have to consider computer viruses, programmes elaborated accidentally or intentionally that require particular attention and that must be countered with strict operating procedures.

9. It should be emphasized that, when a problem is encountered, it is important to consider the motive for the offence and to propose solutions immediately. The motives that pose the greatest risks include: personal gain, the Robin Hood syndrome, hatred of an organization, mental illness and dishonesty; the motives that pose the least risks include organizational benefit and games.

Organizational paradigms concerning security

10. Paradigms play an important role in the current philosophy of science, and the rules governing investigations derive from them.

11. The following are among the principal paradigms: responsibility for auditing the system rests with the user and the internal audit department; security systems do not contemplate the possibility of internal fraud; accidents are unlikely to occur in an institution; there will always be errors because no system is perfect; there are many others.

Identifying the risk

12. It is important to create awareness among the users in an organization about the risks facing information so they understand that security is part of their work. To this end, it is necessary to establish the cost and quality of the security system, assess its installation in terms of risk, identify high-risk applications, quantify the impact of the suspension of services, and formulate the required security measures.

13. When the degree of risk has been determined, the next step should be to draw up a list of preventive measures and of measures to be taken in case of a disaster, indicating the priority of each.

14. The risk should be considered and quantified at the institutional, regional and State level and an indication given of the availability and retrieval possibilities of support programmes.

Considerations of an integrated security system

15. Developing a security system means "planning, organizing, coordinating, directing and controlling activities related to maintaining and ensuring the integrity of the resources involved in the information system, as well as safeguarding the assets of the institution, the region and the State".

16. To do this, we must define administrative elements and security policies, organize and distribute responsibilities, establish emergency procedures, define security goals, make a diagnosis of the risk and security status of the information and, finally, draw up a security plan.

Cuba

[Original: Spanish]
[28 May 2003]

1. Cuba has supported the resolutions on "Developments in the field of information and telecommunications in the context of international security", ever since the item began to be considered by the First Committee of the United Nations General Assembly in 1998.

2. The fact that the item has been placed on the agenda of the General Assembly shows that the international community is becoming aware of the potential danger for peace and security, when information technologies are not used for peaceful means.

3. The preparatory process and the organization of the two-stage World Summit on the Information Society, Geneva 2003 and Tunis 2005, has brought the item covered by the said resolution and others that are closely related to it, to the forefront of the international community's attention.

4. The hostile use of telecommunications, with the declared or hidden intent of undermining the legal and political order of States, is a negative manifestation of the use of these means, which can give rise to tensions and situations that are not conducive to international peace and security, in open contradiction to the principles and purposes embodied in the Charter of the United Nations.

5. Resolution 57/53 explicitly states that the dissemination and use of information technologies and means affect the interests of the entire international community and that optimum effectiveness is enhanced by broad international cooperation.

6. In its eighth preambular paragraph, the resolution expresses "concern that these technologies and means can potentially be used for purposes that are inconsistent with the objectives of maintaining international stability and security and may adversely affect the integrity of the infrastructure of States to the detriment of their security in both civil and military fields".

7. Furthermore, operative paragraph 3(b) requests all Member States to provide their views and assessments on the definition of basic notions related to information security, "including unauthorized interference with or misuse of information and telecommunications systems and information resources".

8. Cuba understands "unauthorized interference" to mean the use of these systems outside procedures and norms agreed upon internationally, particularly

within the framework of the International Telecommunication Union (ITU), and in violation of the relevant national regulations.

9. Those States which have not yet done so, should take all necessary measures to strengthen such national regulations.

10. Moreover, international regulations in this field must be reviewed periodically, given the speed at which the corresponding technologies are developing, in order to ensure that their effectiveness and efficiency keep pace with such development.

11. Information and telecommunication systems can become weapons when they are designed or used to cause harm to a State's infrastructure. For example, attacking national networks with foreign software or from sources within the State, but promoted or conceived from abroad; radio and television broadcasts intended to disrupt the social order and the institutional framework deriving from the Constitution of another State to which these signals are sent; activities intended to interfere with, damage or paralyse the broadcasting services of other States, etc.

12. Cuba reiterates that all States must respect existing international norms in this field. Access to the information or telecommunication systems of another State should accord with the international cooperation agreements that have been concluded, based on the principle of the consent of the State concerned. The type and scope of exchanges must respect the legislation of the State whose system will be accessed.

13. An attack by one State on the information or telecommunication systems of other States can undermine international peace and security. Unfortunately, such tactics are already used as tools to carry out hostile policies.

14. Cuba suffers from attacks of this nature, which have been instigated, tolerated and executed by the United States Government for almost 20 years. Since 1985, when the latter illegally established a radio station, and 1990, when it set up a television station, Cuban radio and television broadcasts have been affected and interfered with. Every week, these government radio stations and others, transmit towards our country more than 2,220 hours of subversive programming against the constitutional order. Twenty-four frequencies are devoted to programming specifically to this end.

15. Since 1990, the United States Government has invested more than $20 million a year in these radio and television attacks.

16. As indicated in the statement from the Ministry of Foreign Affairs of the Republic of Cuba on 22 May 2003, the United States Government has initiated new activities that represent an escalation in the radio and television attacks it has been waging against Cuba for decades.

17. On 20 May 2003, the radio station created and operated by the United States Government to promote subversion in Cuba transmitted on four new frequencies, affecting and interfering with Cuban radio transmissions.

18. These acts constitute a blatant and flagrant violation of international law and of the norms and regulations established by the International Telecommunication Union, the international organization established to promote efficient telecommunication services throughout the world, and, in particular of its Radio Regulations.

19. During the afternoon of 20 May, between 6 p.m. and 10 p.m., the official United States propaganda services, using an EC-130 airplane of the United States Armed Forces, transmitted towards Cuba television signals with a similar objective on channels legally assigned to Cuban television stations and duly registered with the above-mentioned international organization.

20. This action also violates international law and the norms agreed upon by all States within the framework of the International Telecommunication Union, particularly number 23.3 of its Radio Regulations, which prohibits television transmissions beyond national borders.

21. These television transmissions also violate the preamble to the Constitution of the International Telecommunication Union in that these activities do not facilitate peaceful relations, international cooperation among peoples and economic and social development by means of efficient telecommunication services.

22. Therefore, Cuba rejects and denounces the tolerance which the United States authorities have shown for the activities of the terrorist, José Basulto, and his attempts to transmit television signals towards Cuban territory. Even though it was duly announced through the diplomatic channel that Mr. Basulto had been warned that any transmission towards Cuba would be considered a violation of United States law and result in action being taken against him, on 20 May, this known terrorist was able to fly unhindered; while he did not transmit, this was due to problems with the transmitter he was going to use rather than to the actions of the United States authorities, which acted in blatant complicity.

23. In accordance with number 15.34 of the ITU Radio Regulations, the television attacks by the United States constitute harmful interference, caused by a television station operating on Channel 13 VHF (210 to 216 MHz), which seriously affected Cuban television services duly registered on this channel.

24. Cuban radiocommunication authorities have reported this to the Federal Communications Commission (FCC) of the United States Government, describing all the technical and legal parameters that have been flagrantly violated.

25. Cuba is also taking steps to report these facts to the Secretary General of the International Telecommunication Union and to request that appropriate measures be taken.

26. Cuba considers that it is necessary to reinforce the international legal framework for information and telecommunications. It is also essential that the international order that has been established in this area should be respected, in accordance with full respect for international law and the Charter of the United Nations, which should have primacy in relations between States. Indeed, relevant international principles, regulations and procedures already exist and they should be respected.

27. It is imperative to work towards the formulation of non-binding guidelines and also towards the adoption of norms which can take the form of multilateral and legally binding international agreements or protocols.

28. Both methods should take into consideration basic criteria such as unauthorized interference or the misuse of information and telecommunication systems and information resources; aspects of sovereignty associated with these topics; the peaceful use of the means of information and telecommunications in all

its aspects; the promotion of international cooperation so as to encourage the development of information and telecommunication systems in developing countries, based on the crucial impact of information and communication technologies on socio-economic development; the prevention, tackling and eradication of hostile practices in the use of these systems and the application of national measures to establish greater State control over information and telecommunication systems and deal with the corresponding criminal acts.

29. In addition to the elements described above, Cuba considers that attention should be drawn to the following aspects that are closely associated with making full use of telecommunications as an instrument to facilitate international peace and security:

- All States must refrain from applying unilateral coercive measures — which are contrary to international law — to restrict the affected State's access to technologies and to international networks for the exchange of information and communication.
- The systems relating to certification of and possible sanctions on any State as regards access to telecommunication or other closely related technologies by reason of posing a threat to international peace and security, should be multilateral in nature and based on standards adopted by the international community.
- International cooperation in this area should be strengthened and the necessary resources should be mobilized in order to help developing countries enhance and expand their telecommunication systems.
- Legislative and other measures should be adopted, at both the national and the international level to prohibit undue concentration in private hands of ownership and control of the telecommunication media — as well as other means of information and communication — because of the negative impact this would have on the necessary diversity of information sources and could be used as a tool for propaganda against peace and incitement to war.
- A multilateral, intergovernmental, democratic and transparent system should be established for the administration and control of the Internet and other international information and communication networks. It is vital that the monitoring system be intergovernmental in nature.
- The systems for controlling and monitoring telecommunications and other forms of international communication should be multilateral and transparent, with clear responsibilities and public scrutiny procedures, so as to put an end to the violations of the privacy, sovereignty and security of many States, that occur with the global spying systems developed by some industrialized powers, in particular the United States.
- Firm guarantees of respect for cultural diversity should be developed so as to eliminate all forms of discrimination or incitement to hate in the content of the information disseminated by international telecommunication systems.

El Salvador

[Original: Spanish]
[30 June 2003]

1. Article 24 of the Constitution prohibits interference with and intervention in telephonic communications; this is the constitutional framework in force in El Salvador with regard to the security of information and telecommunications.

2. Under Articles 184, 185, 186 and 302 of the Penal Code seizure of written communications, computer hardware and any other personal effects or documents not addressed to oneself, or of confidential information of a personal or family nature constitutes a punishable offence, as does any act involving the receiving of communications, such as intercepting or interrupting telegraphic or telephonic communications and interfering with and intervening in them, by means of technical devices to listen in on or to record such communications.

3. None of the foregoing constitutes an offence if a person is receiving threats, demanding payment of ransom for a person who has been kidnapped or abducted or if organized crime is involved and the victim or his representative, whichever is applicable, requests or gives permission in writing for the Office of the Attorney General to listen in on or to record the conversations or acts through which such threats or demands are made.

4. The application of the telecommunications regulatory framework and the imposing of administrative sanctions is the responsibility of the General Superintendency of Electricity and Telecommunications, pursuant to article 4 of the act that created this office and article 29 (b) of the Telecommunications Act, which establishes protection for the secrecy of communications.

5. During 2001 and 2002, a proposed amendment to the Constitution was submitted to the Legislative Assembly, so as to allow telephone interference and/or intervention as a mechanism to assist in the fight against organized crime and drug-trafficking. To date, this proposal has not been adopted.

Georgia

[Original: English]
[24 June 2003]

1. The Government of Georgia is in the process of creating national information strategy aimed at development of the telecommunications field and promoting new technologies, underlining at the same time importance of State policy for securing use of information technologies.

2. Furthermore, the Government of Georgia adopts policies towards integration of Georgia into the global information society, again being aware of all the risks and challenges existing in terms of security of information.

3. The Government of Georgia deems it extremely important to take part in international programmes and cooperative projects intended for establishing a more secure international information society with the understanding that given the current realities of information technologies and systems, as well as the

particularities of the region Georgia is in, it is impossible to deal with the issues of information security unilaterally.

Russian Federation

[Original: Russian]
[28 April 2003]

Issues connected with the work of the group of governmental experts on information security

1. In accordance with General Assembly resolutions 56/19 of 29 November 2001 and 57/53 of 22 November 2002 on developments in the field of information and telecommunications in the context of international security, which were adopted by consensus, a group of governmental experts is to be established in 2004. Under those resolutions, the group of governmental experts will be asked to consider existing and potential threats in the sphere of information security and possible cooperative measures to address them, conduct a study of relevant international concepts aimed at strengthening the security of global information and telecommunication systems and submit a report on the outcome of the study to the General Assembly at its sixtieth session.

2. The Russian Federation believes that international information security continues to be important and is increasingly topical and has now become a central issue in the national security of States and part of the overall system of international security and strategic stability. The use of information and telecommunication technologies and methods is directly related to the establishment of military and political security in countries throughout the world, and it should therefore be considered in a global, comprehensive and non-discriminatory manner with the participation of as many countries as possible on the basis of the principle of equitable geographical distribution.

3. Consideration of the issue under the auspices of the United Nations would provide just such an approach. As an important international organization which most fully represents the interests of all countries and plays a coordinating role in the area of disarmament, the United Nations provides a foundation for a balanced and effective system of global security.

4. We believe that General Assembly resolutions 53/70 of 4 December 1998, 54/49 of 1 December 1999, 55/28 of 20 November 2000, 56/19 of 29 November 2001 and 57/53 of 22 November 2002 have played an important part in exploring the whole range of issues connected with international information security and developing suitable recommendations. By tradition, they were adopted by consensus and therefore reflect the views of the whole international community, as well as the assessments of States on issues of information security contained in reports of the Secretary-General of the United Nations (A/54/213, A/55/140 and Corr.1 and Add.1, A/56/164 and Add.1 and A/57/166 and Add.1).

5. The seminar on international information security matters organized by the United Nations Institute for Disarmament Research and the Department for Disarmament Affairs of the United Nations Secretariat in Geneva in August 1999, in accordance with the recommendations set out in resolution 53/70, in which

representatives of more than 50 countries participated, played an important role in determining the approach to current issues relating to international information security.

6. The seminar confirmed that information security was an urgent matter and that it was time to include it in the international agenda. It also provided an opportunity to determine a variety of ways of addressing the essential nature of the issue. There are currently no generally accepted appropriate international standards or instruments dealing with questions of information security from the standpoint of measures to reduce existing and potential global threats to information security.

7. There is therefore a need for a joint effort, involving as many countries as possible, to study existing concepts and approaches in this area and analyse current international legal provisions relating to various aspects of international information security.

8. We believe that the establishment of the group of governmental experts on information security will move international, multilateral discussion of this matter to a qualitatively new phase. The group will give the international community a unique opportunity to examine the entire range of issues involved.

9. The Russian Federation would like to play a constructive part in the work of the group of governmental experts and would therefore like to raise a number of issues which it believes might be included in the group's agenda.

10. In considering issues of international information security, it is important, above all, to adhere to such human values as guaranteed universal, free, equitable and secure international exchanges of information on the basis of generally accepted standards and principles of international law.

11. The group should take into account the assessments received from States, in accordance with the General Assembly resolutions on international information security and other material which may be referred to it for consideration.

12. In our view, the group could focus on the following issues, which we consider of central importance:

13. First, it should agree on an appropriate conceptual system of international information security. The main goals at that stage of the activities of the group of governmental experts could be to develop basic definitions relating to information networks, resources and systems, information infrastructure and information weapons, and to determine characteristics, hallmarks, descriptions and classification of threats to information security.

14. Second, it should examine the factors influencing international information security. This is a complicated and complex field and the international community must take a comprehensive approach, taking into account terrorist, criminal or military threats, in both the civil and military fields.

15. In the emerging global information society, information and communications technologies are interlinked and transcend borders. For that reason, within the global information community, international information security is inextricably and naturally connected with questions relating to the identification of the source of threats of an internal or external nature and issues of State sovereignty and respect for human rights and freedoms, in particular the right to non-interference in one's

personal life. These and related matters could provide a basis for discussion within the group of governmental experts.

16. The next stage could be to determine mutually acceptable measures to prevent the use of information technologies and methods for terrorist and other criminal purposes, as well as measures to restrict the use of information weapons, particularly when such weapons are targeted at the critical infrastructure of States. It would seem that the goals at that stage would be to examine the potential for developing procedures for mutual notification and the prevention of unsanctioned cross-border influence of information technology, the establishment of a system of international monitoring to track threats which may appear in the information area, a mechanism to monitor implementation of the arrangements for international information security, and a mechanism to resolve conflict situations relating to information security, and the establishment of conditions to govern an international system of certification of information and telecommunication technologies and methods (including those connected with software) in order to guarantee information security.

17. Thought should be given to the possible avenues of international cooperation between law enforcement agencies to prevent and halt offences in information space and, in particular, to identify sources of cyber attack. The issue of harmonizing the national legislation of individual countries governing information security should be considered in order to achieve a uniform classification of information security offences and liability for actions classified as criminal.

18. It is also proposed that consideration should be given to the possibility of providing international assistance to countries which have suffered cyber attacks, in order to mitigate the effects of disruption to their normal operations, especially attacks to their critical State infrastructures.

19. In the longer term, efforts should perhaps be made to develop a multilateral, mutually acceptable international legal document aimed at strengthening international legal security arrangements. This would provide that States and other subjects of international law must bear international liability for activities in information space which they carry out or which are carried out from territory under their jurisdiction.

20. The Russian Federation believes that the basis of a universal international information security regime might be the obligation on participants to refrain from activities in information space aimed at causing harm to the information networks, systems, resources and processes of another State or to its infrastructure, or aimed at disrupting its political, economic and social system or psychologically manipulating the population in order to destabilize society and the State.

Senegal

[Original: French]
[9 June 2003]

1. Measures relating to telecommunications and information security come into play in connection with the exchange of information particularly information concerning arms trafficking. Such information must remain confidential.

2. Consequently, it must be safeguarded by a certain number of measures, to ensure, inter alia:

- the security of materials, software and data processing, by the installation of specific technical devices;
- the security of procedures for the exchange of information, by specific and exclusive regulations.

Ukraine

[Original: Russian]
[27 May 2003]

1. General assessment of the issues of information security

1. The international process of globalization, the introduction of new information technologies and the emergence of the information society all underline the significance of information security as an element of national security.

2. The development of a State's information infrastructure and the creation and introduction of new information technologies give rise to certain specific risks to information security. Among the most important are deliberate threats, which may arise as a result of objective or subjective differences in the spiritual, intellectual or material interests of the individuals concerned and the ways and means in which their aspirations may be met. This may, in some cases, give rise to conflict situations.

3. The main threats to information security include:

- Manipulation of information (disinformation, concealment or distortion of information);
- Contravention of established methods of information exchange, unsanctioned access or unjustified restriction on access to information resources, or the unlawful collection or use of information;
- Destruction of a State's information space or its use for anti-State purposes;
- Information terrorism, for example through the dissemination of computer viruses, the bugging of programs or apparatus, the installation of radio frequency devices for the interception of information in technical facilities or premises, the unlawful use of information and telecommunication systems and information resources, the peddling of false information, etc.

4. One direct result of negative information effects is misinformation, which leads to the distortion and/or destruction of a State's information environment and its information resources, as well as the inability of important State, industrial, financial, academic or general cultural systems to function, with the result that national sovereignty over information is lost.

5. Consideration of issues of information security thus shows that, in addition to more general problems, there are also problems in maintaining the essential range and quality of information resources, elaborating strategies for their use in conjunction with appropriate information technologies, establishing an adequate

information infrastructure, maintaining information security in information and telecommunication systems and combating negative activities that affect individuals, society and the State as a whole.

6. An inadequate level of protection for a State's information resources may involve it in significant economic damage owing to depreciation and loss in its industrial and information technology trade sector and also a substantial loss of national security as a whole as a result of possible breakdowns in the normal functioning of the systems of communication, monitoring and administration, the leaking of information concerning State secrets, and the like.

7. Information security depends on the adoption of measures to protect information at every stage. The aim of information security is to ensure the integrity of the system and protect and guarantee the accuracy and integrity of the information and also to minimize any consequences that may arise if such information is altered or destroyed.

8. One feature of the modern world is the use, in various spheres of social and State activity, of local and global information systems intended to speed up the exchange of information and access to a variety of information resources.

9. The widespread introduction of such systems, particularly in spheres of activity connected with State administration, has created real possibilities for unsanctioned access to State information resources and control systems, for the dissemination of unlawful information, for the destruction of the integrity and accessibility of information, etc.

10. The stable functioning of the political, economic, military, financial and other aspects of State activity depends on the reliability, as well as the efficiency of telecommunication and information systems. Where an information space is being established, the reliability and protection of information and telecommunication systems that serve the interests of State administration take on particular importance and relevance. Not only does access to information systems make valuable information available but, through the disruption or blocking of the work of information systems, it is possible to paralyse, wholly or partially, the activities of important aspects or even whole areas of the economy, to exert a detrimental effect on information resources, to disseminate information that is prohibited by law and so on.

11. Ensuring the security of information contained in information and telecommunication systems is one of the main factors in, and a precondition of, the guaranteeing of information security, national and State sovereignty and stable social development.

12. At the present stage of the development of information and telecommunication systems, the main threats to the information that they contain include:

- Disruption of the ordered functioning of important information and telecommunication systems;
- Accidental or deliberate acts resulting in the breakdown of the confidentiality, integrity and accessibility of information;

– Interference with information systems (dissemination of computer viruses, installation of bugging programs and apparatus, use of interception devices in technical facilities and premises, information interception and decipherment, peddling of false information, radio frequency interference with key password systems, the jamming of lines of communication and control systems, etc.).

13. Information and telecommunication systems, especially those relating to State administration, can be reliably protected from criminal encroachment only by the establishment of a complex information protection system, which would include the use of cryptographic and technical protection measures, together with a range of organizational and technical approaches.

14. Particular attention should be paid to the question of linking computer networks to international information networks.

15. Ukraine's entry into the international community cannot be fully realized unless cooperation with global information exchange networks such as the Internet is expanded. Such systems provide a wide choice of modern information and telecommunication services, many of which are advertised as providing protection for information.

16. At the same time, the wide variety of devices used in such systems, the special features of which are hard, if not impossible, to assess without access to previous programming codes, pose a threat to the security of information, financial transactions and electronic payments. Countless cases are known of the incautious use by banks of imported information technology that an expert can use to penetrate the system in a single 10-minute session.

17. Attention must be paid to the danger arising when servers and local networks are connected to global networks without due preparation. Practically any local computer network connected to the Internet can easily be accessed by hackers if it is not provided with appropriate protection measures.

18. The new ways and means of passing information between countries and, in particular, the increasing popularity of new forms of entrepreneurial activity using the Internet (electronic commerce), together with the gradual introduction of electronic control systems, have been accompanied by a widespread use of computer technologies and a wider range of information in electronic form. As a result, objects of information links become increasingly dependent on the degree of protection provided for that information, which, in turn, is targeted by negatively disposed elements of society and their associates. The incompatibility between existing protection systems and mechanisms creates a real potential for the unsanctioned access, use, blocking or obliteration of information created, processed, transferred or stored in electronic form.

19. The problem of interference with a State's information resources is a topical one throughout the world. Whereas before the beginning of the 1990s the crucial issue was to protect the State from foreign espionage, in recent years, the problem of combating so-called computer crime has become the more urgent, owing to the widespread introduction of information technologies into all aspects of national life. This is evidenced by the fact that computer crime is internationally recognized as a new form of intellectual crime. Moreover, such crime is committed not only by organized criminal groups but also by terrorist organizations and individual criminals.

20. Criminals are particularly attracted by the information systems used by State organs, law enforcement, customs and tax agencies, finance and credit institutions, the military and so on. In Ukraine, the law enforcement agencies have, on more than one occasion, detected illegal operations involving the use of the plastic cards used in international payment systems and the execution of fictitious electronic payments with a view to illegally obtaining money or interfering with the activities of computer networks through the Internet, etc.

2. Definition of the fundamental concepts of information security, including unauthorized interference in or unlawful use of information or telecommunication systems or information resources

21. The intensive development of information and telecommunication technologies is exacerbating the problem of ensuring information security, including the question of unauthorized interference in or unlawful use of information and telecommunication systems and the question of the protection of information resources.

22. In this context the term "information security" must be understood as the kind of protection of a State's information space that allows the attainment of its national interests and observance of the rights of the individual, society and the State.

23. In view of the considerable social risks associated with the unlawful activities mentioned above and of the importance of the efficient functioning of information and telecommunication systems, the Criminal Code of Ukraine defines offences connected with the use of computers and computer systems or networks and sets out the corresponding penalties for commission of such offences, specifically:

- Unlawful interference in the working of computers or computer systems or networks: acts resulting in the distortion or destruction of computerized information or carriers of such information or in the dissemination of computer viruses by means of software or other technical devices with the intention of unlawfully penetrating computers or computer systems or networks;
- Theft, appropriation or extortion of computerized information or the acquisition thereof by deception or abuse of an official position;
- Violation of the operating rules of automated computers or computer systems or networks by a person responsible for their operation: acts resulting in the theft, distortion or destruction of computerized information or the means of its protection, in the unlawful copying of computerized information or in substantial disruption of the working of computers or computer systems or networks.

24. In short, the term "computer offence" may be defined as an unlawful act which encroaches on the established procedure for the operation of information technology systems or the procedure for access to them or which damages the integrity, confidentiality or accessibility of the information and the rights and freedoms of citizens in the course of information technology operations.

3. The content of international concepts designed to strengthen the security of global information and telecommunication systems

25. The twenty-first century will go down in history as the period of the birth and development of the global information society, which will consolidate or extend material processes with processes of information technology and help to bring about a substantial improvement in the productivity of labour and in social well-being. Many countries are already creating the organizational and technical basis of national and global infrastructures. The United Nations addresses the question of the delivery of the right of access to the basic means of communication and information in the Universal Declaration of Human Rights.

26. The experience of the developed countries in finding effective solutions to the problems of disseminating information technology in the second half of the 1990s, which has been formally compiled by international organizations (International Telecommunication Union, International Organization for Standardization/International Electrotechnical Commission, European Telecommunications Standards Institute) and many national standardization organizations, argues for the need to create multilevel (national and regional) information technology infrastructures and subsequently to combine them in the Global Information Infrastructure (GII).

27. Europe's participation in GII signifies not only the creation of national information infrastructures within the European region but also assistance with the building of such infrastructures in individual countries for the common benefit of every country in Europe as a whole. Instead of talking about a "European Information Infrastructure" the Europeans prefer to use the term "European Information Society (EIS)". The building blocks of EIS are its networks, basic services and additional services. The existing European networks may be strengthened by the introduction of a European broadband superhighway, which will combine in a single whole all the European telecommunication, cable and satellite services. The European countries support the use of trans-European basic services, including electronic mail services and the transmission of files and videos.

28. The European countries are also devoting much attention to the social aspect of the next stage of the world technological revolution. The Council of Europe has produced resolutions and documents on the formation of national policy relating to the building of the information society. This is perceived not as a tribute paid to fashion but as a necessary condition of development, the rejection of which will result in a loss of impetus and a retreat from the foremost economic and technological positions.

29. World trends in the legal regulation of activities connected with the latest data-transmission technologies testify to the need to formulate unified approaches to the creation of legislative and standardization instruments for all the participants in the international exchange of information. In the view of the American Association of Jurists, there already exists today a real demand for the creation of a multinational commission on cyberspace legislation. The establishment of a "cybercourt" is one of the most important items on the list of issues recommended for consideration by the future commission. At the present stage the main problem of legislation relating to information security is the need to adapt the existing legal rules to advances in information technology.

30. It is impossible today to imagine an information space without computer networks. It was precisely this technology which prompted the emergence and development of many types of business: electronic accounting cards, operational inter-bank settlement, stock-exchange services, brokerage services, etc.

31. It is expected that by 2005 one half of the population of the European Union will have access to the Internet. The countries of the European Union are therefore directing their efforts towards building up confidence in commercial and financial operations through the Internet and speeding up the transition to electronic commerce.

32. On 7 May 1999 the European Parliament reached agreement on a draft version of INFOPOL 98, which authorizes the competent agencies lawfully to engage in network monitoring. This was in fact a draft Council resolution on the lawful interception of telecommunications in relation to new technologies. This document calls for access by the agencies carrying out the monitoring in real time to all telecommunications networks, including the Internet and telephone satellite systems. The United Kingdom Government has begun to implement a project on the establishment of a centre for the interception of all electronic traffic within the country.

33. The Government of China is controlling access to the Net by licensing the use of modems, and all Internet information flows pass through a limited number of national operators.

34. Attention may be drawn to the following problems of information security:

- Infringement of intellectual property rights;
- Dissemination of information having a harmful influence on people's social health, including problems connected with children's access to the Internet;
- Conduct of unlawful commercial operations;
- Unauthorized access to confidential information;
- Infringement of the rights and lawful interests of individuals in the course of the exchange of information;
- Dissemination of low-grade advertising.

35. There is a further danger connected with the Internet — the possibility of using a person's confidential information without his or her permission. It is possible to acquire such information by analysing the use which the person makes of the Internet.

36. The Internet is a very specific means of communication which, because of its transboundary nature, is difficult to subject to legal regulation. All Internet users are subject to the laws of their own country. But unlawful content may be displayed in the territory of a country other than the one where it is held in a server. International agreements are essential for the regulation of legal relations involving the Internet, but their adoption is complicated in turn by the variety of approaches taken by national legislation to one offence or another; for example, the concept of "pornography" is subject to different interpretations. Today the general trend of legislative initiatives connected with the Internet is towards the establishment of the liability of the providers of host services for the content of the information

contained in their computers. Since this is a very complicated matter from the technical standpoint, the legislation of some countries subjects the establishment of the liability of providers to the condition that they were aware of the content of the unlawful information.

37. Interpol, whose membership includes the law enforcement agencies of 178 countries, has reported that it will publish information on Net offences on the site of the United States company Atomic Tangerine. Interpol provides information about hackers and about the types of offence that threaten companies engaging in electronic business. Atomic Tangerine, for its part, must pass to Interpol information obtained through the NetRadar early warning system, which belongs to Atomic Tangerine and is designed for Internet monitoring.

38. The anonymity of communications is one of the most important problems, for it complicates, and sometimes renders impossible, the establishment of the identity of the owner of unlawful information and his or her prosecution. Experts from many countries are therefore proposing to impose a legal ban on anonymous communications, but one which would allow communications under pseudonyms since, where necessary, it would be possible to determine the authors of such communications.

39. On 21 December 1998 the Council of the European Union adopted a safer Internet action plan proposed by the European Parliament. This plan operated for four years (from 1 January 1999 to 31 December 2002). It had a budget of 25 million euros. The plan proposed the creation of various Internet quality standards to be established in accordance with Internet benchmarks on products. These provisions were to be incorporated both in national legislations and in the self-regulation codes of Internet providers. In March 1999 the European Commission, following discussion of the provisions of the report on the convergence of the telecommunication, media and information technology sectors, adopted a report containing the following fundamental conclusion: the legal regulation of the Internet must be transparent, clear and proportional.

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Advancement of women

Improvement of the status of women in the United Nations system

Report of the Secretary-General**

Summary

Pursuant to General Assembly resolution 57/180 of 19 December 2002, the present report provides information on the representation of women in the Secretariat and in other organizations of the United Nations system. As at 30 June 2003, women account for 35.6 per cent of Professional and higher-level staff with appointments of one year or more in the Secretariat. During the past five years, the representation of women has risen slowly in this group, despite an increase in the total number of staff. In posts subject to geographical distribution, 41.8 per cent of Professional and higher-level staff are women. This level of representation is consistent with the rate of progress made during the past 10 years. At the D-1 level and above, women represent 25.6 per cent of staff with appointments of one year or more and 33.4 per cent of staff in posts subject to geographical distribution. Within the United Nations system, the overall proportion of women in the Professional and higher categories is 35 per cent as at 31 December 2002. More concerted efforts are required to achieve gender parity at all levels and categories, particularly at the senior and policy-making levels.

* A/58/150.

** The late submission of the present report was a result of delayed processing of human resources data.

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I. Introduction

1. The present report, submitted pursuant to General Assembly resolution 57/180 of 18 December 2002, provides information on the representation of women in the Secretariat and other organizations of the United Nations system for the period from 1 July 2002 to 30 June 2003.

2. It provides an overview of the current status of the representation of women in the Secretariat[1] and in the United Nations system compared to a year ago; an analysis of the trends during the past 10 years towards the achievement of gender balance; and a review of developments and activities to improve the status of women since the submission of the last report of the Secretary-General (A/57/447).

II. Overview of the current representation of women staff in the Secretariat

3. The analysis presented below is based on the gender distribution of staff in the Professional and higher categories (5,530 staff) in the Secretariat on appointments of one year or more as well as Professional staff on project posts (832 staff). Further information is provided in the annual report of the Secretary-General on the composition of staff in the Secretariat.[2]

A. Staff in the Professional and higher categories on posts subject to geographical distribution

4. Of the 5,530 Professional and higher-level staff, 2,493 are in the more restricted group of Professional staff on posts subject to geographical distribution. At 30 June 2003, there were 41.8 per cent women (1,041 women) compared to 41 per cent a year ago (see table 2). This current increase of 0.8 percentage points — similar to last year's rate — is less than the average increase of approximately 1 percentage point per year in this group since 1989. Table 4 provides a comparison of women's representation by grade on posts subject to geographical distribution between 30 June 2002 and 30 June 2003.

5. At the D-1 level and above, the percentage of women slightly decreased to 33.3 per cent, compared with 33.7 per cent last year. The main progress has been made at the Under-Secretary-General level, with an increase of 4.2 percentage points where the proportion of women increased from 16.7 per cent to 20.8 per cent (5 women out of 24). The representation of women at the Assistant Secretary-General level has remained at the past year's 23.5 per cent (4 women out of 17). At the D-2 level, women's representation has increased from 29.4 to 31.2 per cent (24 women out of 77), and at the D-1 level, the representation of women decreased from 37.8 to 36.3 per cent (78 women out of 215).

6. At the P-1 to P-5 levels, women comprise 43.1 per cent. Gender balance of staff, however, is only achieved at the P-2 level, with 55.3 per cent.

B. Staff in the Professional and higher categories with appointments of one year or more

7. During the period under review, in the larger group of Professional staff with appointments of one year or more, the overall proportion of women has increased slightly from 35 to 35.6 per cent (1,971 out of a total of 5,530). Table 1 provides the comparison of gender distribution by department or office and by grade. While the current level of women's representation indicates some modest increase compared to 2002, it is actually below the level of June 2000, when women represented 36.5 per cent, which is the highest proportion of women ever achieved for this group of staff. Table 3 provides a comparison of women's representation by grade for staff with appointments of one year or more between 30 June 2002 and 30 June 2003.

8. At the D-1 level and above, there has been an increase of nearly one percentage point from 24.7 to 25.6 per cent, with the largest increase at the levels of Under-Secretary-General and Assistant Secretary-General. At the Under-Secretary-General level, the proportion of women increased from 10.5 to 13.5 per cent, an increase of 3 percentage points (5 women out of 37). At the Assistant Secretary-General level, the proportion of women rose by 4.4 percentage points, from 10.3 to 14.6 per cent (6 women out of 41). At the D-2 level, the proportion of women has increased from 22.3 to 24.8 per cent (29 women out of 117). At the D-1 level, the proportion has remained at 28.8 per cent (91 women out of 316).

9. At the P-1 to P-5 levels, women comprise 36.7 per cent, with the largest increase at the P-2 and P-3 levels. At the P-2 level, gender balance has been achieved with 50 per cent (315 men and 315 women); at the P-3 level, women comprise 39.8 per cent. The representation of women at the P-4 level remains at last year's rate of 31.5 per cent, while it increased slightly from 29.5 to 30.2 per cent at the P-5 level.

C. Representation of women in the Professional and higher categories with appointments of one year or more in departments or offices

10. Given the fluctuation of staff and the small number of staff at certain levels, some departments or offices may have temporarily achieved gender balance of 50 per cent or more during the year. Since the last report, four departments or offices with 20 or more professional staff continue to meet the gender target as at 30 June 2003: the Office of Programme Planning, Budget and Accounts (56.4 per cent); the Office of Human Resources Management (54.3 per cent); the Department of Public Information (52.7 per cent) and the Department of Management/Office of the Under-Secretary-General (51.4 per cent). One additional office to achieve gender parity is the Executive Office of the Secretary-General (52.3 per cent).

11. A representation of 30 per cent is considered a critical mass to measure progress in the achievement of targets set by the General Assembly. It is important to note that some departments or offices have not yet achieved this level of representation. These are the Office of Central Support Services (25.8 per cent), the Department of Peacekeeping Operations/Office for Mission Support (23.2 per cent) and the United Nations Monitoring, Verification and Inspection Commission (15.1 per cent).

1. Women at the D-1 level and above in departments or offices

12. The overall percentage of women at the D-1 level and above is 25.6 for appointments of one year or more. At 30 June 2003, the gender target at the D-1 level and above has been met or exceeded by three of the following departments or offices with more than 20 Professional staff overall: Office for Human Resources Management (62.5 per cent); Department for Disarmament Affairs (50 per cent); and the Office of the United Nations Security Coordinator (50 per cent). Only one office, the Office for Human Resources Management, achieved the gender target for staff in the Professional and higher categories as a whole and for the D-1 level and above.

13. In nine departments or offices, the representation of women is 40 per cent or more: the Department for General Assembly and Conference Management (47.4 per cent); the Department of Public Information (45.5 per cent); the Economic Commission for Latin America and the Caribbean (ECLAC) (45.5 per cent); the Office of Legal Affairs (42.9 per cent); the Economic and Social Commission for Western Asia (ESCWA) (42.9 per cent); the United Nations Monitoring, Verification and Inspection Commission (42.9 per cent); the Executive Office of the Secretary-General (42.1 per cent); the United Nations Office at Vienna (40 per cent); and the Economic Commission for Europe (ECE) (40 per cent).

14. In 13 departments or offices, women constitute less than 30 per cent at the D-1 level and above: the United Nations Human Settlements Programme (UN-Habitat) (27.3 per cent); the Economic and Social Commission for Asia and the Pacific (ESCAP) (27.3 per cent); the Office of Programme Planning, Budget and Accounts (25 per cent); the Department of Peacekeeping Operations (21.1 per cent); the secretariat of the United Nations Conference on Trade and Development (UNCTAD) (20 per cent); the Economic Commission for Africa (ECA) (20 per cent); the Department of Political Affairs (17.9 per cent); the Office of the United Nations High Commissioner for Human Rights (OHCHR) (16.7 per cent); the Office of Central Support Services (16.7 per cent); the Office on Drugs and Crime (15.8 per cent); the United Nations Environment Programme (UNEP) (15.7 per cent); the Office for the Coordination of Humanitarian Affairs (10 per cent); and the Department of Peacekeeping Operations/Office for Mission Support (10 per cent).

15. Two departments or offices have no women staff at the D-1 level and above: the United Nations Compensation Commission and the United Nations Office at Nairobi. While the former has six posts at these levels, the latter has only one post.

16. Of the six departments or offices that have 20 or more staff at the D-1 level and above, none has achieved gender balance at these senior and policy-making levels. The representation of women at these levels is 45.5 per cent in the Department of Public Information; 35 per cent in the Department of Economic and Social Affairs; 17.9 per cent in the Department of Political Affairs; 20 per cent in the UNCTAD secretariat; and 15.7 per cent in UNEP. Within the Department of Peacekeeping Operations/Office for Mission Support, women account for 10 per cent of the staff at the D-1 level and above.

2. Staff in the Professional and higher categories on language posts

17. The gender distribution of Professional staff (P-2 to P-5) on posts with special language requirements remains at about the same level, following a slight increase

from 39.2 per cent in June 2002 to 40.1 per cent (346 women out of 863 staff). In this category, gender balance of 50 per cent or more has been achieved at the P-2 level only, while women represent 41.6 per cent of staff at the P-5 level. Since women are underrepresented in certain areas, some approaches have been made to Member States to encourage more women to apply for vacancies, particularly in the Arabic, Chinese and Russian language services.

3. Staff on project posts

18. The total number of staff on project posts (200 series) is 832. Within this group, the proportion of women increased from 30.3 to 32.5 per cent (270 women) as at 30 June 2003. The proportion of women increased at the L-3 level from 39.2 to 42.4 per cent; at the L-5 level from 10.8 to 14.1 per cent; and at the L-7 level, from 11.1 to 12.5 per cent. At the L-4 level, the rate decreased from 21 to 20.3 per cent.

4. Staff in the Professional and higher categories in peacekeeping and peace-building missions administered by the Department of Peacekeeping Operations/Office of Mission Support

19. The number of Professional staff with appointments of one year or more assigned to peace operations decreased from 1,437 to 1,175, and the percentage of women also decreased from 24 to 23.2 per cent (273 women and 902 men) for the second year. At the D-1 level and above, women in peace operations constitute 10 per cent of staff (9 out of 90), which is a significant increase from the 4.2 per cent of the past year (4 out of 92). In addition, of the 356 staff members with appointments of less than one year in field missions administered by the Department of Peacekeeping Operations, women accounted for 111, or 31.2 per cent.

20. In 28 missions administered by the Department of Peacekeeping Operations, women represent 26 per cent of all Professional staff as at July 2003. Of 10 missions with more than 20 professional staff members, two missions have more than 30 per cent women staff: the United Nations Verification Mission in Guatemala (MINUGUA), with 35 per cent, and the United Nations Assistance Mission in Afghanistan (UNAMA), with 32 per cent. For the United Nations Organization Mission in the Democratic Republic of the Congo (MONUC) and the United Nations Mission in Ethiopia and Eritrea (UNMEE), the rate is 29 per cent.[3] There is still only one woman at the level of Special Representative of the Secretary-General heading peace operations: in the United Nations Observer Mission in Georgia (UNOMIG). There are four women deputy heads of peacekeeping missions: MINUGUA, MONUC, UNMEE and UNOMIG.

5. Appointments, promotions and lateral moves of staff in the Professional and higher categories in the Secretariat

21. In resolution 57/180, the General Assembly requested the Secretary-General (in para. 6 (c)) to ensure that the appointment and promotion of suitably qualified women would not be less than 50 per cent of all appointments and promotions until the goal of 50/50 gender distribution was met.

22. With regard to appointments of one year or more, 38.5 per cent women were appointed at the P-2 to Under-Secretary-General levels (158 of 410), including appointments for field missions administered by the Department of Peacekeeping Operations. At the D-1 level and above, women made up 15.7 per cent of all

appointments, thus falling far short of the above-mentioned 50 per cent gender target in appointments. Out of five appointments at the Under-Secretary-General level, one woman was appointed: as Under-Secretary-General of Management. At the Assistant Secretary-General level, two of seven appointments were women: the Ombudsman and the Special Representative of the Secretary-General in UNOMIG (Department of Peacekeeping Operations/Office for Mission Support).[4] At the D-2 level, 2 out of 17 appointments were women; and at the D-1 level, the number is 3 out of 22 appointments. At the P-5 and P-4 levels, women comprised 31.3 per cent and 24.8 per cent of appointments, respectively. These levels are below women's overall representation on the staff with appointments of one year or more. A much higher intake of women would be necessary for a significant increase of the overall rate of women to occur. The goal of 50 per cent gender balance in the appointments of Professional staff was achieved and exceeded only at the P-2 level, with 61.9 per cent of all appointments.

23. With regard to appointments on posts subject to geographical distribution, 80 or 46.5 per cent are female staff members. The goal of 50 per cent gender balance in the appointments of Professional staff is achieved only at the P-2 level, with 65.7 per cent of all appointments. At all other levels, more men than women are appointed. At the P-5 and P-4 levels, women comprise 42.1 and 33.3 per cent of appointments, respectively.

24. Women comprise 62.3 per cent (38 women and 23 men) of recruits from the national competitive examinations as at 30 June 2003, compared to 59 per cent for the previous year. Regarding appointments with special language requirements, women account for 55.1 per cent (27 women and 22 men), compared to 55.8 per cent in 2002.

25. A review of the results of the G to P examinations from 1991 to 2002 reveals that, although women constitute the majority of General Service staff, fewer women than men take the examinations, but more women than men have been promoted by this means over the years. For the period under review, the total percentage of women taking the exam is 49 per cent (1,392 out of 2,831), while the percentage of successful women is 59 per cent (96 out of 163).

26. During the reporting period, women accounted for 7 out of 13 promotions to the D-2 level, or 54 per cent. Under the new staff selection system, women accounted for 48 out of 125 promotions from the P-3 to D-1 levels, or 38.4 per cent. The goal of gender balance was only met and exceeded at the P-3 level, with 58.3 per cent. At the P-5 level, 30 per cent of promotions were women, which is the same rate as the overall representation of women at this level for appointments of one year or more. During the transition to the new staff selection system, which coincides with the period under review, 135 additional staff members were promoted based on recommendations of the former appointment and promotion bodies. Women accounted for 62 promotions, or 45.9 per cent. At the P-5, P-4 and P-3 levels, the representation of women was at 51.2 per cent, 39 per cent and 54.5 per cent, respectively.

27. Of 13 lateral transfers under the new staff selection system, 4 were women. Fourteen staff members made lateral transfers under the former system, of whom 7 were women.

6. Gender distribution in the Field Service

28. In the Field Service category, out of 1,435 staff members working in peace operations, women constitute 320 or 22.3 per cent of staff, approximately the same for 2002. At the FS-6 and FS-7 levels, women represent only 2.2 per cent (2 out of 90). At the FS-1 to FS-5 levels, women account for 24 per cent (318 out of 1,345 staff), compared with 22.1 per cent a year ago.

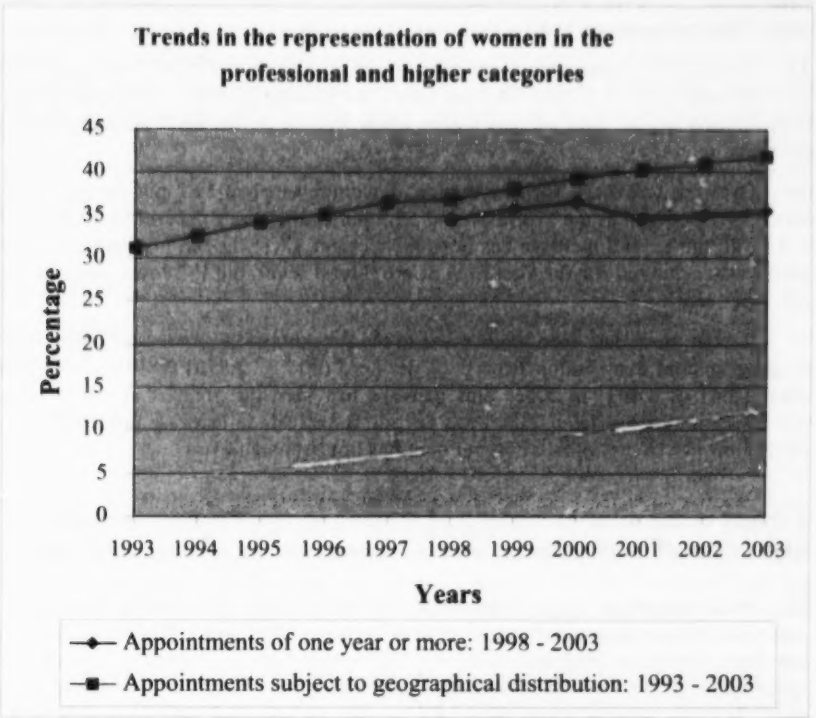
7. Gender distribution of staff in the General Service and related categories

29. Women constitute the majority of staff members in the General Service category, with 62 per cent as at 30 June 2003 (4,234 women out of 6,824 staff). The statistics continue to show that General Service staff have little opportunity for career development, with the exception of the G to P examination. Of 93 promotions under the new staff selection system, 60 are women or 64.5 per cent. Of 79 staff promoted through the former appointment and promotion bodies, 52 are women or 65.8 per cent. Only eight General Service staff made lateral moves under the current and former system; seven of them were women.

30. Women continue to be severely underrepresented in the Security and Safety Service category, where they constitute 10 per cent (22 out of 219 staff) and 2.7 per cent in the Trades and Crafts category (5 women out of 183), respectively.

III. Long-term trends in the improvement of the status of women in the Professional and higher levels, 1993-2003

31. This section provides an overview of trends in the improvement of the status of women in the Professional and higher levels. For posts subject to geographical distribution, a 10-year overview (30 June 1993 to 30 June 2003) shows a steady annual increase of the representation of women at every grade. For the larger category of appointments of one year or more, data have been only available since 1998. Data for this period, however, show no significant increase in the representation of women. The chart below illustrates the trends in the average representation of women in the Professional and higher categories for appointments subject to geographical distribution and for appointments of one year or more.



A. Trends in the representation of women in the Professional and higher levels on posts subject to geographical distribution, 1993-2003

32. Over the ten-year period, 1993 to 2003, the increase in the representation of women on posts subject to geographical distribution continued to be an average of 1 percentage point per year, except for the past two years. The representation of women increased from 31.2 per cent in 1993 to 41.8 per cent in 2003. Table 5 provides information on women's representation by grade and year.

33. Given the fact that there are fewer posts at the D-1 level and above, a change of one or two staff members can greatly affect the overall percentage and explains partly the fluctuation over the years. At the Under-Secretary-General level, the number of women increased from 3 out of 21 in 1993 to 5 out of 24 in 2003, an increase from 14.3 to 20.8 per cent. Similarly at the Assistant Secretary-General level, there has been an increase since 1994. The number of women increased from 1 out of 15 in 1993 to 4 out of 17 in 2003, reflecting an increase from 6.7 to 23.5 per cent.

34. At the D-2 level, the total number of women rose from 13.6 per cent (9 out of 66) in 1993 to 31.2 per cent (24 out of 77) in 2003. The most striking increase has

been at the D-1 level, from 12.8 per cent in 1993 (31 out of 242) to 36.4 per cent in 2003 (78 women out of 214).

35. Over this ten-year period, the percentage of women at the P-5 level grew from 21.7 per cent (103 of 475) to 34.9 per cent (167 women of 479). This percentage is only slightly higher than six years ago, when women at this level accounted for 33 per cent.

36. Over the ten years, the percentage of women reached 37.2 per cent at the P-4 level, 49.1 per cent at the P-3 level and 55.3 per cent at the P-2 level in 2003. At the P-4 level, the overall increase has been the slowest. Over the ten-year period, gender parity was achieved for the first time at the lowest level, the P-2 level, only in 2001 (52.1 per cent).

37. In sum, there has been an increase in the percentage of women on posts subject to geographical distribution from 31.2 per cent (804 of 2,573) in 1993 to 41.8 per cent (1,041 of 2,493) in 2003. This increase has been the greatest at the D-1 level and lowest at the P-4 level. However, despite the efforts to increase the total number of women, the overall goal of 50 per cent has not been achieved.

B. Trends in the representation of women in the Professional and higher levels with appointments of one year or more, 1998-2003

38. In the larger group of Professional and higher level staff with appointments of one year or more, a comparison of figures between 1998 and 2003 shows that there has been almost no progress in the rate of representation of women (see table 6). Quantitatively, the number of women has not kept pace with the overall number of staff.[5] In 1998, women represented 34.6 per cent (1,141 of 4,164), compared to 35.6 per cent (1,971 of 5,530) in 2003. This is lower than the rate of 36.5 per cent achieved in 2000.

39. At the level of Under-Secretary-General, the representation of women increased from 11.1 per cent (3 of 27) to 13.5 per cent (5 of 37) in 2003; at the level of Assistant Secretary-General, the representation of women grew from 13 per cent (3 of 23) to 14.6 per cent (6 of 41).

40. At the D-2 level, the greatest gains were made with an increase of 6 percentage points from 18.8 to 24.8 per cent. At the D-1 level, the representation of women increased from 23.7 per cent in 1998 to 28.8 per cent in 2003. This reflects a change from 65 women out of 274 staff in 1998 to 91 women out of 316 staff in 2003.

41. While there has been a positive change at all levels during the period 1998-2003, there has been a decline in the representation of women at the P-4 level between June 1999, when women accounted for 33.7 per cent and 2003, when women's representation decreased to 31.5 per cent. At the P-3 level, the representation of women has barely changed between 1998 and 2003. For the P-3 to P-5 levels, the percentage of women in 2003 is actually below what it was in 2000. This trend, particularly at the P-4 and P-5 levels, which hold the largest proportion of staff, explains partly the overall slow progress towards gender balance. In order to achieve a significant increase in the representation of women, especially in the Professional and higher-level categories, the General Assembly's mandate that 50 per cent of appointments must be women must not only be met, but exceeded consistently.

42. This development calls into question the expectation that the steady increase of women at the lower levels would increase the pool of women available for senior positions. The stagnation in this larger category, particularly at the P-4 and P-5 levels, is a cause for serious concern and calls for concerted efforts and improved strategies to achieve the 50/50 gender target, including an increase of women in new appointments; greater accountability to ensure stricter adherence to targets; more mentoring of women staff; greater focus on gender sensitivity training for programme managers; and further study of the causes of the slow progress to formulate more effective strategies.

IV. Overview of the representation of women staff at the Professional and higher categories in the United Nations system

43. The overall proportion of women in the Professional and higher categories in the entities of the United Nations system has increased from 34.1 per cent at 31 December 2001 to 35 per cent on 31 December 2002, as illustrated in table 7. The United Nations Institute for Training and Research has 52.4 per cent women on its staff (10 men, 11 women). The United Nations Population Fund (UNFPA), with 49.3 per cent Professional women, has not been able to retain the gender parity that it had achieved in past years. The largest increase was made in the International Fund for Agricultural Development (IFAD) where the representation of women rose from 36.5 to 40.5 per cent.

44. In addition to UNFPA and IFAD, six organizations have more than 40 per cent Professional women on their staff: the United Nations Children's Fund (UNICEF) (44.7 per cent); the United Nations Educational, Scientific and Cultural Organization (UNESCO) (44 per cent); the Office of the United Nations High Commissioner for Refugees (UNHCR) (43.1 per cent); the World Food Programme (WFP) (41.2 per cent); the Joint United Nations Programme on HIV/AIDS (UNAIDS) (40.9 per cent); and the Pan American Health Organization (PAHO) (40.5 per cent). Women represent more than 30 and less than 40 per cent in another ten entities. Three organizations have less than 20 per cent women on their staff: the Universal Postal Union (UPU) (19.7 per cent), the International Atomic Energy Agency (IAEA) (18.3 per cent) and the United Nations University (UNU) (13.6 per cent).

45. At the D-1 level and above, the situation remained the same, with women constituting 21 per cent, compared to 20.9 per cent at 31 December 2001. Similar to the Secretariat, gender balance has only been achieved at the P-2 and P-1 levels in the organizations of the United Nations system. The lack of comparable data for the United Nations system precludes further analysis of appointments, promotions or transfers.

V. Recent activities undertaken towards achieving gender parity

46. In resolution 57/180, the General Assembly reaffirmed the urgent goal of achieving 50/50 gender distribution in all categories of posts within the United

Nations system, but especially at senior and policy-making levels. In response to the slower rate of increase of women's representation at the Professional and higher levels, several actions have been taken or are in progress.

47. In April 2003, the Secretary-General wrote to all heads of departments and offices in the Secretariat, expressing his concern at the low of rate of progress and emphasizing the importance of reaching the goal of 50/50 gender balance. He reiterated that his recent reform package was aimed at achieving a better balance in the professional and personal lives of staff members, including women, and pointed to the responsibility of senior managers to achieve gender parity targets. All heads of departments or offices and senior staff were also reminded of the importance of achieving goals relating to geography and gender.

48. The Office of the Under-Secretary-General for Management, in collaboration with the Office of Human Resources Management and the Office of the Special Adviser on Gender Issues and Advancement of Women, has formulated a project to strengthen the Secretary-General's efforts to achieve gender balance by adopting a more coordinated and integrated approach to the issue. The strategy includes the use of an integrated set of interventions to tackle gender balance on multiple fronts at the organizational level. The purpose of the project is to set and achieve verifiable goals to ensure that the gender balance targets are attained by 2006.

49. The importance of timely data for monitoring purposes was raised by the Inter-agency Network on Women and Gender Equality at its second session, held from 24 to 27 February 2003. Its recommendations were forwarded to the High-level Committee on Management;[6] and the matter was discussed and the Chairperson made a strong call for more timely data on staffing issues to be forwarded to the Human Resources Network of the Chief Executives Board for Coordination and the High-level Committee.

50. Statistical information on gender balance at all levels has also been a matter of concern to the International Civil Service Commission. At its session in July 2003, the Commission asked its secretariat to collect statistical information on gender balance at all levels, including ungraded officials, in the organizations of the United Nations system and to submit a report by its 2004 session.

A. Staff selection system

51. The new system of recruitment, promotion and placement came into effect in May 2002. It gave decentralized authority to each head of department or office for ensuring the equal representation of women at all levels, as well as the career development of all staff up to the D-2 level.

52. Since the abolition of the departmental panels, departmental focal points no longer have an input in the final selection process. The new staff selection system provides for the participation in an advisory capacity of the Office of the Special Adviser on Gender Issues and Advancement of Women in the Central Review Board and the Central Review Committee at Headquarters and also provides for the participation of a departmental focal point in the central review bodies in other duty stations.[7] New creative approaches are being explored by the Office of Human Resources Management and the Office of the Special Adviser to maintain and

reinforce the advisory and monitoring role of the departmental focal points at Headquarters and in offices away from Headquarters.

53. In resolution 57/180, the General Assembly strongly encouraged heads of departments and offices to continue selecting female candidates when their qualifications were the same as, or better than, those of male candidates, and to effectively encourage, monitor, and assess the performance of managers in meeting targets for improving women's representation. In the past, the special measures for the achievement of gender equality[8] have assisted the Organization and heads of departments in making progress towards the goal of 50/50 gender balance. With the new responsibility of programme managers for staffing decisions, new strategies and methods need to be developed to ensure that effective special measures better adapted to the features of the staff selection are put into place to achieve gender parity under the new staff selection system.

B. Human resources action plans

54. In resolution 57/305 of 15 April 2003, the General Assembly requested the Secretary-General to hold the heads of departments and offices accountable for implementing their human resources action plans. Twenty-six departments or offices had prepared human resources action plans for the period from March 2001 to December 2002. The Office of Human Resources Management is reviewing these plans with the heads of departments and offices to assess the progress made in meeting human resources management targets under the second cycle. In the third cycle of human resources action plans for the years 2003 and 2004, specific targets are set for each department or office on vacancies, gender balance, geographical distribution, mobility, performance appraisals, staff development and staff management relations. An annual report will be submitted to the General Assembly on the progress made by departments and offices. Equitable geographical distribution and gender balance continue to be of high priority in the new cycle.

55. Gender targets in the human resources action plans include progress towards 50/50 gender distribution in the overall female representation in all categories and in all levels of posts, including at the Professional and higher levels and the General Service, and at least 50-per-cent recruitment and selection of women staff at the Professional and higher levels. The plans also identify future retirements, which will provide additional opportunities to increase the number of women staff members. The Office of Human Resources Management and the Office of the Special Adviser will review the gender representation and the status of recruitments, promotions and placements of staff in all categories on a monthly basis in order to facilitate the progress of departments and offices in reaching gender targets. The Office of Human Resources Management and the Office of the Special Adviser will continue to support and advise these departments and offices in identifying suitable women candidates.

C. Analysis of the obstacles to the improvement of the status of women

56. In response to General Assembly resolution 57/180, the Office of the Special Adviser has made preliminary arrangements for the preparation of an analysis of the

probable causes of the slow advancement in the improvement of the status of women in the United Nations system, with a view to elaborating new strategies for achieving gender parity. The study will be carried out in two phases. The first phase will look at gender balance in the United Nations Secretariat and the second, within the United Nations system. The outcome of the study will be presented to the General Assembly at its fifty-ninth session.

57. The design of the study includes an analysis of empirical data, an audit of relevant organizational processes and an interview process, which would encompass all levels of staff. Initially, using data already available from a number of sources, the study will look at the main inhibitors and obstacles to the achievement of gender balance, including the effects of spouse employment, mobility and mission service, mentoring, the creation of a gender-sensitive environment, the new personnel management system, and opportunities for professional development. Special emphasis will be placed on the P-4 and P-5 levels, where blockages appear, and at the D-1 and senior levels. The situation of the General Service staff will also be analysed.

58. The findings are expected to lead to a set of action-oriented recommendations for the improvement of the status of women in the Secretariat, and should be useful for developing joint approaches within the United Nations common system for recruiting women more evenly from all regions; retaining women staff currently employed; and for facilitating inter-agency mobility and improving career development opportunities.

D. Work/life policies

59. On 1 February 2003, flexible working arrangements were authorized in all departments and offices of the Secretariat.[9] These new patterns of work offer greater flexibility in when and where work is done and provide arrangements that may lead to a better balance between professional and personal lives. They will also assist in attracting and retaining high quality staff, particularly women. The four options currently available to staff are: staggered working hours; a compressed work schedule (ten working days into nine); scheduled breaks for external learning activities; and working away from the office (telecommuting). In the coming year, the Office of Human Resources Management will monitor the implementation of these arrangements in departments and offices at Headquarters and in the field to ascertain the effectiveness of the programme. The Office of the Special Adviser on Gender Issues and Advancement of Women and the Focal Point for Women will continue to coordinate with the Office of Human Resources Management and the Work/Life Task Force to track the use of these arrangements.

60. Another initiative under way is to facilitate spouse employment at all the major duty stations of the United Nations Secretariat and the United Nations system. Existing agreements with host countries, visa and work permit restrictions, as well as the arrangements between the Secretariat and United Nations agencies, funds and programmes, do not always facilitate or encourage employment of spouses. The High-level Committee on Management, in its consideration in May 2003 of measures to improve system-wide mobility, had placed the issue of spouse employment on its agenda. The United Nations Development Group reported to this session of the High-level Committee on the issue, with policy principles, goals and objectives aimed at facilitating spouse employment. Opportunities for employment

of spouses are an increasingly relevant factor in attracting candidates for jobs, both in the Secretariat and in entities within the United Nations system, especially in the context of staff mobility and retaining women staff who are currently employed. The Human Resources Network will continue to work on system-wide mobility issues.

E. Policies on sexual exploitation and sexual abuse and harassment, including sexual harassment

61. The Inter-Agency Standing Committee adopted a Plan of Action[10] in July 2002 following allegations of widespread sexual exploitation and abuse of refugee and internally displaced women and children by humanitarian workers and peacekeepers in West Africa in early 2002. In addition to specific preventive and remedial measures, the Plan established six core principles to prevent sexual exploitation and sexual abuse. These principles are to be incorporated into the codes of conduct and staff rules and regulations of member organizations of the Committee. A Secretary-General's bulletin on special measures for protection from sexual exploitation and sexual abuse is being finalized. It will represent the minimum standards of behaviour expected of all staff members within the United Nations system.

62. Humanitarian agencies within and outside the United Nations system have also been engaged in efforts to adopt or revise their own codes of conduct and to require that partners adhere to the six core principles. For example, the UNHCR Code of Conduct has been revised to integrate the principles; WFP and UNICEF have included reference to sexual exploitation and abuse in partner agreements. Two United Nations peacekeeping missions in Africa — the United Nations Organization Mission in the Democratic Republic of the Congo (MONUC) and the United Nations Assistance Mission to Sierra Leone (UNAMSIL) — have issued their own memorandums on the prohibition of sexual abuse and exploitation by members of civilian and military components.

63. The Department of Peacekeeping Operations issued on 1 July 2003 guidance for field missions on the procedures to be followed for handling disciplinary issues and allegations of serious misconduct involving mission personnel, particularly uniformed personnel. One of them, entitled "Directive on Sexual Harassment in the United Nations Peacekeeping and other Field Missions: For Military Members of National Contingents, Military Observers and Civilian Police Officers", was prepared with assistance from the Office of Human Resources Management and the Office of the Special Adviser on Gender Issues and Advancement of Women. It illustrates what constitutes sexual harassment, explains the various avenues for resolution of differences and/or grievances, outlines the steps necessary to lodge a complaint, as well as the organizational process to address a grievance of sexual harassment. The directive does not supersede any national guidance or procedures that may exist on dealing with sexual harassment.

64. At its twenty-sixth session, the Staff-Management Coordination Committee adopted an agreement, which the Secretary-General approved, that the procedures for dealing with allegations of sexual harassment would be reviewed and a new administrative instruction issued to include all forms of harassment. The elements of such an issuance would be submitted to the next session of the Committee. The Office of the Special Adviser on Gender Issues and Advancement of Women will continue to contribute to this process.

F. Career development/staff development

65. The Office of Human Resources Management continues to offer career development workshops to help staff to prepare themselves for changes in the workplace, in the vacancy management system and in their functions. The range of topics takes account of the needs of staff at all levels and is supportive of a gender-sensitive inclusive workplace.

66. In September 2002, the Office of Human Resources Management opened a Career Resource Centre to offer staff members a space for career-related research and self-study. The Centre is equipped with books, videos, web links, articles and journals on career planning, management and gender topics. Lunchtime mini workshops and practice sessions are offered to reinforce what staff learn in one-day career development workshops. To date, almost three times the number of General Service and Professional women, compared to men, have made use of and benefited from these activities. Provision has also been made for staff to have confidential meetings with career advisers.

67. The Mentoring Programme for New Junior Professionals is in its second year and offers the opportunity for senior Professional women and men to mentor and share their knowledge and experience with Professional staff entering the Organization. The workshops for mentors and mentees contain an entire session devoted to diversity training, including gender. The importance of the participation of male mentors in the programme has been emphasized.

68. In order to develop greater competencies of United Nations staff in the area of respect for diversity and gender issues, the Office of Human Resources Management offers two specifically tailored programmes. One new programme under development for the staff of the Security and Safety Service focuses on diversity issues, including gender awareness. While this programme is being customized for the Security and Safety Service, it will be designed to form the basis of a core programme that can meet the needs of other staff in the Secretariat. Once the programme has been evaluated and adjustments made as appropriate, wider delivery is envisaged. In support of agreed conclusions 1997/2 of the Economic and Social Council and the Beijing Platform for Action, the Office of Human Resources Management also offers a programme on mainstreaming gender perspectives for departments and offices. Currently, the Department for Disarmament Affairs is completing its competency development programme on gender mainstreaming. In 2003, the Office of Human Resources Management is also supporting similar programmes for the Office for the Coordination of Humanitarian Affairs and ESCAP.

G. Office of the Special Adviser on Gender Issues and Advancement of Women

69. The Office of the Special Adviser on Gender Issues and Advancement of Women, including the Focal Point for Women, regularly monitors progress made by the Organization in improving the status of women, including the achievement of the targets set by the General Assembly in order to reach gender balance. It does so by reporting annually to the General Assembly and the Commission on the Status of Women. It monitors the effect of existing policies to achieve gender equality and

cooperates with the Office of Human Resources Management on the development of new strategies and policies to strengthen the representation of women, particularly at the senior levels, in all duty stations and in peacekeeping missions. To this end, it provides names of women for the eminent persons list. It participates in the review of the human resources action plans. The Office works with the departmental focal points for women on opportunities to improve the status of women in their departments or offices. It also liaises with heads of departments and organizations of the United Nations system to bring to their attention women candidates for senior and policy-level post and counsels women staff on career choices through promotion and placement options and available and forthcoming vacancies. It also offers advice to women at all levels seeking to enter the Secretariat or the United Nations system. The quarterly newsletter "Network", which is distributed widely inside and outside the United Nations system and is available online, provides updated information on developments with regard to the status of women and on policies of United Nations organizations to achieve the gender targets set by the General Assembly.

70. The Office of the Special Adviser participates in the central review bodies mentioned above, as it did in the former Appointment and Promotion Board and Committees at Headquarters, and assists in ensuring that women candidates are given serious and equitable consideration. It monitors the gender distribution in all categories and levels of posts and liaises with departments and offices on progress in reaching gender targets.

71. The Office and the Focal Point provide grievance redress, counselling and referrals to female staff members. While the majority of cases are related to promotion issues, a large number of staff seek assistance related to their contractual status due to redeployment or downsizing, as well as transfers for family reasons and spouse employment; cases in the legal system; and harassment in the workplace, including perceived abuse of power and sexual harassment. In its efforts to provide assistance and resolution to problems, the Office works in consultation with the Office of Human Resources Management, the Office of the Ombudsman, the Staff Counsellor, the Panel of Counsel, executive offices and senior staff from concerned departments and offices at Headquarters and in the field and other pertinent parties. Interventions are confidential and mediated within the framework of administrative instruction ST/AI/379, entitled "Procedures for dealing with sexual harassment", and the Staff Rules and Regulations of the United Nations.

VI. Conclusions and actions

72. **In his report entitled "Strengthening of the United Nations: an agenda for further change" (A/57/387), the Secretary-General reiterated his commitment to 50/50 gender balance in the United Nations Secretariat. Achieving a geographically and gender-balanced workforce will remain an enduring priority for the Secretary-General.**

73. **The present report illustrates that the status of women in the United Nations system has not improved sufficiently in certain categories and at certain levels of posts, despite the continuing commitment of the General Assembly and the Secretary-General to achieve 50/50 gender balance. Notwithstanding increases in the number of staff in some categories, the overall**

representation of women has not increased significantly in the period from 1 July 2002 to 30 June 2003.

74. **A ten-year overview (1993-2003) of the posts subject to geographical distribution illustrates that steady progress has been made. However, the current rate of 41.8 per cent still falls short of the goal of 50/50 gender balance. For the second consecutive year, the increase has been below the annual progress of one percentage point in the past. Of particular concern is the slow progress over a five-year period (1998-2003) in the Professional and higher categories of staff with appointments of one year or more, where women account for 35.6 per cent, which is below the rate reached in 2000. More men continue to be recruited and promoted at higher levels than women in this group of staff. The General Assembly's mandate that 50 per cent of appointments must be women has not been met.**

75. **The Office of the Special Adviser on Gender Issues and Advancement of Women, in collaboration with the Department of Management, Office of Human Resources Management and other relevant offices and departments, will provide further analysis of the causes that have prevented the Organization from reaching its gender targets. In addition, efforts to achieve the target of gender parity would include concerted actions to:**

- **Increase the total number of women working for the Organization and the United Nations system both through retention and recruitment**
- **Make more deliberate efforts to appoint women to 50 per cent or more of vacancies**
- **Increase appointments at the senior and policy-making levels**
- **Extend ongoing training and sensitization of managers on gender balance issues.**

The forthcoming retirements of staff members at the Professional and director levels between 2003 and 2006 provide another important opportunity to accelerate progress towards gender parity.

76. **The new cycle of human resource action plans has introduced a more targeted approach to assist departments and offices to meet the goal of 50-per-cent gender balance overall, together with specific targets for increasing the number of women being recruited and promoted, as follows:**

- **The Office of the Special Adviser, together with the Office of Human Resources Management, will continue to monitor rigorously the implementation of the gender targets**
- **The Office of Human Resources Management and the Office of the Special Adviser are exploring ways to better integrate the departmental focal points in the new staffing system, so that the focal points can continue to play an important role for the periodic and systematic monitoring of the recruitment, retention and career advancement of women.**

77. **To measure accurately progress in achieving gender parity for staff in the Professional and higher categories, comparable data is required from the United Nations system. These actions would include:**

- **Submitting personnel data on all appointments, promotions and mobility**
- **Collecting and submitting data in a more timely fashion.**

78. **The impact of the new work/life policies will need to be more closely monitored as borne out by recent findings of a preliminary survey by the Group on Equal Rights for Women in the United Nations. This will require more information and training of staff and programme managers to dispel misconceptions on the possible effects of work/life policies on productivity and effectiveness.**

79. **To improve the status of women, efforts must also address the situation of women in the General Service category where they constitute the majority of staff. Actions would include:**

- **Reviewing the entry level for General Service staff**
- **Providing greater opportunities and incentives for interdepartmental mobility**
- **Placing more focus on enhancing career opportunities for women in these categories, such as lifting the restrictions on the number of General Service staff eligible for promotion to the Professional category.**

80. **In order to provide a pool of women staff suitable for higher-level posts, there is a need to establish networks with professional organizations, particularly those of scientists, experts in civil aviation, maritime work, engineering, hydrology, meteorology and other technical fields, and others as congruent with the thematic focus of the Secretariat and the specialized agencies, funds and programmes of the United Nations system.**

81. **More intense efforts are required to identify, recruit and promote senior women. Member States can assist greatly by endeavouring to:**

- **Submit names of qualified women**
- **Create awareness among their nationals, particularly women, of available vacancies throughout the United Nations common system via web sites such as Galaxy and WomenWatch and the web sites of United Nations entities**
- **Encourage women nationals to apply for specific posts**
- **Cooperate more closely with the United Nations to facilitate spouse employment at all the major duty stations of the United Nations Secretariat and the United Nations system.**

82. **The Secretary-General remains firmly committed to reaching 50/50 gender parity at all levels and in all categories of posts. He places the highest priority in reaching the mandated General Assembly gender targets, in particular at the senior and policy-making levels in the Secretariat.**

Notes

[1] The present report is based on data available at the time of the preparation of the report.

[2] A/58/__ (to be submitted under item 127).

[3] Source: Department of Peacekeeping Operations/Office of Mission Support/Personnel Management and Support Service/Information Management Unit, 28 July 2003.

[4] Appointments of women effective after the reporting period: Assistant Secretary-General for Mission Support, Department of Peacekeeping Operations; Assistant Secretary-General for Human Resources Management, Department of Management.

[5] This increase, as mentioned in previous reports, is primarily due to the fact that, since 2001, staff with appointments of one year or more in peacekeeping and other special missions has been included in the statistics. This group has traditionally had a low representation of women at the Professional level.

[6] See CEB/2003/HLCM/INF.3.

[7] See ST/SGB/2002/6.

[8] See ST/AI/1999/9.

[9] See ST/SGB/2003/4.

[10] A/57/465, annex I.

Table 1

Gender distribution of staff in the Professional and higher categories with appointments of one year or more in the United Nations Secretariat, by department or office and by grade, as at 30 June 2003

	USG		*ASG*		*D-2*		*D-1*		*P-5*		*P-4*		*P-3*		*P-2*		*P-1*		*Total*			
Department/Office	*M*	*F*	*M*	*F*	*M*	*F*	*M*	*F*	*M*	*F*	*M*	*F*	*M*	*F*	*M*	*F*	*M*	*F*	*M*	*F*	*Grand total*	*Percentage of women*
INTERORG					1		1			3	2	3		2					4	8	12	66.7
UNFIP					1				1		1	4							3	4	7	57.1
DM/OPPBA			1		3	1	2	1	9	9	13	20	11	17	5	9			44	57	101	56.4
DM/OHRM					1	2	2	3	7	10	14	9	4	9	4	5			32	38	70	54.3
DPI	1				4	1	7	9	20	13	31	28	29	41	15	27			107	119	226	52.7
EOSG	1	1	1	2	4	3	5	2	4	1	5	6		7	1	1			21	23	44	52.3
DM		1			1		3	1	6	5	4	6	3	2		3			17	18	35	51.4
OHRLLS	1					1					1					1			2	2	4	50.0
REGCOM								1	1										1	1	2	50.0
DESA	1		1	1	7	3	17	10	29	26	39	39	27	27	17	17			138	123	261	47.1
OLA	1		1		2	1	4	5	13	4	10	11	8	11	5	6			44	38	82	46.3
UNCC			1		1		4		3	3	13	10	32	32	7	9	1		62	54	116	46.6
OCHA	1				3	1	5		11	6	10	5	9	15	3	7			42	34	76	44.7
DGACM	1		1		1	2	7	7	65	36	122	84	104	92	9	13			310	234	544	43.0
ODC	1				2	1	13	2	20	4	24	16	11	19	1	11			72	53	125	42.4
OHCHR	1		1		1		2	1	8	6	21	8	15	17	10	11			59	43	102	42.2
ESCWA		1				1	4	1	10	5	20	6	10	11	3	8			47	33	80	41.3
ECLAC	1						5	5	14	4	32	17	15	16	16	14			83	56	139	40.3
UNOV					2		1	2	9	6	28	15	18	14	3	3			61	40	101	39.6
OIOS	1					1	3	1	10	7	20	11	13	8	4	5			51	33	84	39.3
OIP	1				2				2		3	2	3	3		2			11	7	18	38.9
DDA					1	1	1	1	5	4	7	2	3	2	2	2			19	12	31	38.7
DPA	4		3		8	1	8	4	17	12	19	11	13	11	3	8			75	47	122	38.5
ECE		1			1		5	3	14	7	22	6	18	13	8	8			68	38	106	35.9
UNOG	1				1	2	7	3	30	23	96	32	73	45	10	12			218	117	335	34.9
UN-Habitat		1			2		6	2	17	4	16	7	11	9	4	6			56	29	85	34.1
UNON							1		4	2	18	8	25	15	7	3			55	28	83	33.7

Department/Office	USG		ASG		D-2		D-1		P-5		P-4		P-3		P-2		P-1		Total		Grand total	Percentage of women
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F		
OSRSGCAC	1								1		2	1		1					4	2	6	33.3
UNEP	1		2		8		32	8	49	8	61	37	60	36	6	14		3	219	106	325	32.6
ECA	1					1	11	2	26	7	29	15	32	21	12	6			111	52	163	31.9
ESCAP	1					1	7	2	15	7	39	11	27	10	12	16			101	47	148	31.8
UNCTAD	1		1		3	1	11	3	32	8	29	12	35	27	16	7			128	58	186	31.2
DPKO	1		2		5	1	7	3	17	11	93	27	84	47	8	8			217	97	314	30.9
DM/OCSS			1		3		6	2	17	2	30	11	27	13	11	5			95	33	128	25.8
DPKO/OMS	9		18	3	19	2	35	4	95	12	269	62	343	117	111	68	3	5	902	273	1 175	23.2
UNMOVIC					1		3	3	14	2	29	2	13	4	2				62	11	73	15.1
UNSECOORD			1			1			3	2	12		2						18	3	21	14.3
Total	**32**	**5**	**35**	**6**	**88**	**29**	**225**	**91**	**598**	**259**	**1 184**	**544**	**1 078**	**714**	**315**	**315**	**4**	**8**	**3 559**	**1 971**	**5 530**	**35.6**

Source: Office of Human Resources Management, Composition of the Secretariat as at 30 June 2003.

Table 2

Gender distribution of staff in the Professional and higher categories with appointments subject to geographical distribution in the United Nations Secretariat, by department or office and by grade, as at 30 June 2003

	USG		*ASG*		*D-2*		*D-1*		*P-5*		*P-4*		*P-3*		*P-2*		*P-1*		*Total*			
Department/Office	*M*	*F*	*M*	*F*	*M*	*F*	*M*	*F*	*M*	*F*	*M*	*F*	*M*	*F*	*M*	*F*	*M*	*F*	*M*	*F*	*Grand total*	*Percentage of women*
INTERORG										2	1			2					1	4	5	80.0
UNMOVIC								1	1					1					1	2	3	66.7
DM/OHRM					1	2	2	3	6	10	12	8	4	9	3	5			28	37	65	56.9
EOSG	1	1		2	3	3	4	2	3	1	4	3		6		1			15	19	34	55.9
DM/OPPBA			1		3		2	1	8	9	12	17	7	13	5	8			38	48	86	55.8
DPKO	1		2		2		3	3	5	10	12	13	13	17	6	8			44	51	95	53.7
DM		1			1		3	1	5	5	1	4	3	2		2			13	15	28	53.6
DPI	1				4	1	7	8	20	13	31	28	29	39	14	26			106	115	221	52.0
OHRLSS	1					1					1					1			2	2	4	50.0
OIP	1								1					2					2	2	4	50.0
REGCOM								1	1										1	1	2	50.0
DESA	1		1	1	7	3	17	10	29	26	39	38	26	27	17	17			137	122	259	47.1
UNON							1		2	1	1	2	3	2	1	2			8	7	15	46.7
DPKO/OMS				1	2	1	5	2	2	2	12	9	10	9	4	5			35	29	64	45.3
UN-Habitat		1			1		2	2	5	3	5	6	8	3		3			21	18	39	46.2
OHCHR	1		1		1		2	1	7	6	17	8	13	15	7	9			49	39	88	44.3
DGACM	1		1		1	2	7	7	11	3	7	4	3	7		2			31	25	56	44.6
OLA	1		1		2	1	4	5	12	4	8	9	8	7	5	6			41	32	73	43.8
ODC	1				2		4	1	12		15	11	8	11	1	8			43	31	74	41.9
DPA	1		3		6	1	8	4	15	10	15	10	10	10	2	7			60	42	102	41.2
UNOG	1				1	1	6	3	7	3	18	5	11	12	8	11			52	35	87	40.2
DDA					1	1	1	1	5	4	7	2	2	2	2	2			18	12	30	40.0
OIOS	1					1	2	1	9	6	12	8	11	5	4	5			39	26	65	40.0
ESCWA		1				1	4	1	10	5	19	4	8	10	3	7			44	29	73	39.7
UNEP	1				3		2	2	2	2	4	2	1	1		1			13	8	21	38.1
OCHA	1				2	1	5		7	5	5	1	8	9	2	3			30	19	49	38.8
ECLAC	1						5	5	14	4	32	13	15	13	15	13			82	48	130	36.9

Department/Office	USG		ASG		D-2		D-1		P-5		P-4		P-3		P-2		P-1		Total		Grand total	Percentage of women
	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F		
UNOV					2		1	2	7		6	4	5	4	2	2			23	12	35	34.3
ECE		1			1		5	3	14	7	22	6	18	10	8	8			68	35	103	34.0
ESCAP	1					1	7	2	13	7	34	9	19	9	11	15			85	43	128	33.6
UNFIP					1				1			1							2	1	3	33.3
ECA	1					1	10	2	26	7	27	12	25	19	9	5			98	46	144	31.9
UNCTAD	1		1		3	1	11	2	32	8	28	12	33	25	16	6			125	54	179	30.2
UNSECOORD						1			3	1	3		1						7	2	9	22.2
DM/OCSS			1		3		6	2	17	2	27	10	23	11	11	5			88	30	118	25.4
UNCC			1				1												2	0	2	0.0
OSRSGCAC																						
Total	**19**	**5**	**13**	**4**	**53**	**24**	**137**	**78**	**312**	**166**	**437**	**259**	**325**	**312**	**156**	**193**			**1 452**	**1 041**	**2 493**	**41.8**

Source: Office of Human Resources Management, Composition of the Secretariat as at 30 June 2003.

Table 3

Comparison of gender distribution of staff in the Professional and higher categories with appointments of one year or more, as at 30 June 2002 and 30 June 2003

	30 June 2002			*30 June 2003*			
Level	*Men*	*Women*	*Percentage of women*	*Men*	*Women*	*Percentage of women*	*Change in percentage points*
USG	34	4	10.5	32	5	13.5	3.0
ASG	35	4	10.2	35	6	14.6	4.4
D-2	87	25	22.3	88	29	24.8	2.5
D-1	228	93	28.9	225	91	28.8	-0.1
Subtotal	**384**	**126**	**24.7**	**380**	**131**	**25.6**	**0.9**
P-5	604	253	29.5	598	259	30.2	0.7
P-4	1 228	563	31.4	1 184	544	31.5	0.1
P-3	1 135	698	38.0	1 078	714	39.8	1.8
P-2	369	352	48.8	315	315	50.0	1.2
P-1	7	12	63.1	4	8	66.7	3.6
Subtotal	**3 343**	**1 878**	**36.0**	**3 179**	**1 840**	**36.7**	**0.7**
Total	**3 727**	**2 004**	**35.0**	**3 559**	**1 971**	**35.6**	**0.6**

Source: Office of Human Resources Management, Composition of the Secretariat as at 30 June 2003.

Table 4

Comparison of gender distribution of staff in the Professional and higher categories on posts subject to geographical distribution, as at 30 June 2002 and 30 June 2003

	30 June 2002			*30 June 2003*			
Level	*Men*	*Women*	*Percentage of women*	*Men*	*Women*	*Percentage of women*	*Change in percentage points*
USG	20	4	16.6	19	5	20.8	4.2
ASG	13	4	23.5	13	4	23.5	-
D-2	48	20	29.4	53	24	31.2	1.8
D-1	135	82	37.7	137	78	36.3	-1.4
Subtotal	**216**	**110**	**33.7**	**222**	**111**	**33.3**	**-0.4**
P-5	319	154	32.5	312	166	34.7	2.2
P-4	436	271	38.3	437	259	37.2	-1.1
P-3	336	298	47.0	325	312	49.0	2.0
P-2	160	189	54.1	156	193	55.3	1.2
Subtotal	**1 251**	**912**	**42.2**	**1 230**	**930**	**43.1**	**0.9**
Total	**1 467**	**1 022**	**41**	**1 452**	**1 041**	**41.8**	**0.7**

Source: Office of Human Resources Management, Composition of the Secretariat as at 30 June 2003.

Table 5
Representation of women in the Professional and higher categories with posts subject to geographical distribution, 1993-2003 (percentage)

Level	*30 June 1993*	*30 June 1994*	*30 June 1995*	*30 June 1996*	*30 June 1997*	*30 June 1998*	*30 June 1999*	*30 June 2000*	*30 June 2001*	*30 June 2002*	*30 June 2003*	*Change in percentage points 1993-2003*
USG	14.3	10.5	10	4.8	5.5	8.3	8.7	9.1	17.4	16.7	20.8	+6.5
ASG	6.7	11.1	14.3	6.7	14	20	17.6	20	23.5	23.5	23.5	+16.8
D-2	13.6	18.7	19.4	19.7	19	22	23.2	25.7	23.3	29.4	31.2	+17.6
D-1	12.8	14.7	17.2	19.3	22	29	34.3	35.8	38.3	37.8	36.3	+23.5
P-5	21.7	24.5	28.3	27.8	33	31	31.6	33.1	32.3	32.5	34.7	+13.0
P-4	30.5	33.8	33.7	34.9	34.4	36	36.6	37.3	38.7	38.3	37.2	+6.7
P-3	37.6	39.3	39.7	40.6	42.4	42	44.3	44.7	45.2	46.9	49.1	+11.5
P-2	46.9	45.5	47.6	49.7	48	47	47.5	48.8	52.1	54.2	55.3	+8.4
P-1	85.7	100	-	-	-	-	-	-	-	-	-	-
Total	**31.2**	**32.5**	**34.1**	**35.1**	**36.6**	**37**	**38.1**	**39.2**	**40.2**	**41**	**41.8**	**+10.6**

Source: Office of Human Resources Management, Composition of the Secretariat as at 30 June 2003.

Table 6
Representation of women in the Professional and higher categories with appointments of one year or more, 1998-2003 (percentage)

Level	*30 June 1998*	*30 June 1999*	*30 June 2000*	*30 June 2001*	*30 June 2002*	*30 June 2003*	*Change in percentage points 1998-2003*
USG	11.1	9.4	6.5	11.8	10.5	13.5	+2.4
ASG	13	14.3	11.5	10.8	10.2	14.6	+1.6
D-2	18.8	21.6	20.8	17.9	22.3	24.8	+6.0
D-1	23.7	28.1	29.3	30.1	28.9	28.8	+5.1
P-5	29.3	30	32.6	29.5	29.5	30.2	+0.9
P-4	32.3	33.7	33.5	31.4	31.4	31.5	-0.8
P-3	39.4	39.5	40.2	36.9	38	39.8	+0.4
P-2	45.4	48.2	50.1	48	48.8	50.0	+4.6
P-1	64.3	77.8	50	60.6	63.1	66.7	+2.4
Total	**34.6**	**35.8**	**36.5**	**34.6**	**35**	**35.6**	**+1.0**

Source: Office of Human Resources Management, Composition of the Secretariat as at 30 June 2003.

Table 7

Gender distribution of staff in the Professional and higher categories in the organizations of the United Nations system (at Headquarters and other established offices), as at 31 December 2002

	P-1		P-2		P-3		P-4		P-5		D-1		D-2		UG[a]		Total		Grand total 2002	Percentage of women Dec. 2002	Percentage of women Dec. 2001	Change in percentage points
Organization	*M*	*W*	*M*	*W*	*M*	*W*	*M*	*W*	*M*	*W*	*M*	*W*	*M*	*W*	*M*	*W*	*M*	*W*				
UNITAR	-	-	1	3	2	2	3	2	3	3	-	1	-	-	1	-	10	11	21	52.4	48	+4.4
UNFPA	2	3	12	28	16	17	26	33	62	48	27	14	9	5	-	2	154	150	304	49.3	49.2	+0.1
UNICEF	6	1	79	179	205	178	375	260	240	149	72	34	24	10	3	2	1 004	813	1 817	44.7	46	-1.3
UNESCO	8	23	74	121	105	123	124	84	167	65	50	13	22	9	10	2	560	440	1 000	44	43.7	+0.3
UNHCR	1	2	33	69	100	90	87	39	42	18	31	7	3	1	1	-	298	226	524	43.1	40.1	+0.3
WFP	5	9	110	136	171	121	145	75	85	43	41	13	15	6	5	1	577	404	981	41.2	43.9	-2.7
UNAIDS	-	1	2	17	4	6	21	11	56	23	6	3	1	2	1	-	91	63	154	40.9	41.3	-0.4
PAHO	2	8	24	25	26	30	148	84	57	32	1	1	2	-	9	3	269	183	452	40.5	42.5	-2.0
IPAD	5	1	7	21	9	15	27	25	45	11	10	1	3	1	4	-	110	75	185	40.5	36.5	+4.0
WIPO	-	-	28	38	38	57	68	45	75	17	25	4	11	2	6	1	251	164	415	39.5	39.8	-0.3
JSPF	-	-	1	-	9	6	9	7	5	4	2	1	1	-	1	-	28	18	46	39.1	33.3	+5.8
ICSC	-	-	-	1	2	1	2	3	1	-	2	-	1	-	-	-	8	5	13	38.5	41.2	-2.7
UNDP	10	8	102	113	147	76	174	109	173	126	122	32	44	15	7	3	779	482	1 261	38.2	38.6	-0.4
IMO	-	-	10	12	15	12	11	13	29	5	7	1	4	2	-	-	76	45	121	37.2	35.9	+1.3
ILO	1	-	42	64	87	99	151	115	290	87	57	20	23	4	8	2	659	391	1 050	37.2	35.4	+1.8
ICJ	-	-	7	9	4	4	10	1	3	-	-	-	1	-	-	-	25	14	39	35.9	35.5	+0.4
UN	16	43	452	430	1 193	731	1 318	581	772	268	294	100	102	29	67	9	4 214	2 191	6 405	34.2	34.4	-0.2
JCAT	-	-	4	2	14	9	13	10	16	3	1	-	2	-	-	-	50	24	74	32.4	32.4	–
WHO	1	1	54	59	100	93	282	140	419	152	124	36	46	10	9	2	1 035	493	1 528	32.3	33.1	-0.8
UNOPS	2	-	20	23	36	27	61	31	79	22	24	3	6	2	1	-	229	108	337	32	29.1	+2.9
UNRWA	-	-	4	6	7	10	43	9	16	3	6	3	2	-	1	1	79	32	111	28.8	32.1	-3.3
ITC	-	1	18	10	12	9	15	9	24	1	3	-	1	-	1	-	74	30	104	28.8	30.7	-1.9
ITU	3	6	25	16	42	40	88	15	81	14	13	1	5	-	5	-	262	92	354	26	26.5	-0.5
UNIDO	4	5	24	22	45	21	62	17	68	9	30	3	6	1	2	-	241	78	319	24.5	21.4	+3.1
FAO	1	-	53	53	141	92	311	92	301	48	120	14	36	7	10	3	973	309	1 282	24.1	24.8	+0.7
ICAO	1	-	15	16	40	22	126	33	44	8	17	-	5	-	2	-	250	79	329	24	23	+1.0

Organization	P-1		P-2		P-3		P-4		P-5		D-1		D-2		UG[a]		Total		Grand total 2002	Percentage of women Dec. 2002	Percentage of women Dec. 2001	Change in percentage points
	M	W	M	W	M	W	M	W	M	W	M	W	M	W	M	W	M	W				
WMO	-	-	2	1	6	8	31	8	28	9	11	1	8	1	3	-	89	28	117	23.9	22	+1.9
UPU	-	-	3	1	22	7	18	5	8	1	6	-	2	1	2	-	61	15	76	19.7	22.1	-2.4
IAEA	2	1	30	25	224	66	245	50	215	21	27	4	5	1	7	1	755	169	924	18.3	17.6	+0.7
UNU	-	-	2	1	6	2	9	2	9	-	6	-	5	1	1	-	38	6	44	13.6	21.1	-7.5
Total	**70**	**113**	**1 238**	**1 501**	**2 828**	**1 974**	**4 003**	**1 908**	**3 413**	**1 190**	**1 135**	**310**	**395**	**110**	**167**	**32**	**13 249**	**7 138**	**20 387**	**35**	**34.1**	**+0.9**

Source: Secretariat of the United Nations System Chief Executives Board for Coordination.

[a] UG stands for "ungraded", e.g. USG, ASG, DDG, ADG, DG, SG depending on the nomenclature used in the given organization.

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Item 131 of the provisional agenda*
Joint Inspection Unit

Report of the Joint Inspection Unit on the review of the United Nations budgetary process

Note by the Secretary-General

The Secretary-General has the honour to transmit to the members of the General Assembly the report of the Joint Inspection Unit on the review of the United Nations budgetary process (JIU/REP/2003/2).

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REVIEW OF THE UNITED NATIONS BUDGETARY PROCESS

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In accordance with Article 11.2 of the JIU Statute, this report has been "finalized after consultations among the Inspectors so as to test the recommendations being made against the collective wisdom of the Unit".

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ACRONYMS

ACABQ	Advisory Committee on Administrative and Budgetary Questions
CPC	Committee for Programme and Coordination
FAO	Food and Agriculture Organization of the United Nations
IAEA	International Atomic Energy Agency
ICAO	International Civil Aviation Organization
ILO	International Labour Organization
IMO	International Maritime Organization
JIU	Joint Inspection Unit
MDG	Millennium Development Goal
MTP	Medium-Term Plan
NPM	New Programme Model
RBB	Results-Based Budgeting
UNIDO	United Nations Industrial Development Organization
UNITAR	United Nations Institute for Training and Research
UPU	Universal Postal Union
WHO	World Health Organization
WIPO	World Intellectual Property Organization

Executive Summary: objective, conclusions and recommendations

Objective: To appraise the efficiency and effectiveness of the current United Nations budgetary process and present a number of alternatives to the General Assembly for an improved planning, programming, budgeting, monitoring and evaluation process at the United Nations, taking into account, in part, experience and practices in a number of United Nations system organizations

A. In document A/57/387, the Secretary-General expressed his view that the current process of planning and budgeting in the United Nations was seriously flawed, because it was complex, protracted, disjointed, time-consuming and rigid. The Inspectors concur with the Secretary-General on the need to improve the budgetary process of the United Nations. They believe the various elements of the process need to be reviewed, based on a clear identification of their deficiencies, to better reflect and serve the shift to results-based budgeting (RBB) and management.

B. Most of the present instruments applied throughout the process are ill-adapted to reflect and serve a results-based approach, and some have exhausted their purposes associated with a programme budget approach or with political objectives attained long ago. In particular, planning and programming at the United Nations suffer from a lack of strategic guidance and poorly conceived programmes. The Medium-Term Plan (MTP) is proving to be both untimely and inflexible for detailed programming, and an impractical tool for priority setting. The budget outline has exhausted its mainly political purpose to facilitate adherence to the consensus practice in view of the financial constraints imposed on the Organization, and is failing to be a meaningful tool for priority-setting. These deficiencies and others have negative bearings on the efficiency and functioning of the parties involved in the process.

C. The cost of the budgetary process for a biennium exceeds $20 million. On average, this is comparable to some 0.75 per cent of the budget, i.e., the level of the contingency fund. This cost would be significantly higher, however, if the national costs of Member States' internal review and participation in the process were considered. The Inspectors believe any reformed budgetary process must be more cost efficient. At the same time, Member States' oversight role throughout the process must not be diminished.

D. Bearing in mind the above, and guided, in part, by the review of experience and practices in a number of United Nations organizations, the Inspectors pose the following three alternatives to be considered by the General Assembly, together with the proposals of the Secretary-General, in its review for improving the planning, programming, budgeting, monitoring and evaluation process of the United Nations. **They would like to stress, however, that in their opinion, alternative 1 represents the best course of action to be pursued for the most efficient budgetary process.**

Alternative 1

- A strategic framework
- A strategic programme budget
- An enhanced system of monitoring and evaluation
- An improved governance process

(a) Preparation of a strategic framework based on the Millennium Development Goals (MDGs) and the outcomes of the major United Nations conferences and summits. The strategic framework should be concise, identify the global goals relevant to the work of the Organization, the strategic objectives contributing to their attainment, and criteria to guide priority-setting for the work of the Organization. It should serve as a guide to the long-term planning and programming of the United Nations; it being understood that it could be subject to review in case of major developments affecting its content;

(b) Elimination of the medium-term plan (MTP) and the budget outline used in the present process, instead using the programme budget document as the main programming instrument for the biennium, to be strategically conceived based on the strategic framework;

(c) Application of an enhanced system of monitoring and evaluation; provision of better tools for self-evaluation by the programme managers and more frequent and quality reporting to Member States;

(d) An improved governance process where each of the parties involved should fully assume their duties and responsibilities in the process, including the responsibility of the General Assembly to optimize the use of its subsidiary and expert bodies.

Alternative 2

- A strategic framework
- A strategic planning document with indicative resources for the biennium
- A strategic programme budget
- An enhanced system of monitoring and evaluation
- An improved governance process

(a) Preparation of a strategic framework as described in alternative 1;

(b) Elimination of the MTP and the budget outline used in the present process, replacing them with a short planning document for the biennium, guided by the strategic framework and developed at the main programme level. Indicative resources for the biennium will be included as part of the document which will be submitted to Member States two years before the relevant biennium;

(c) The programme and budget document will be the main instrument for detailed programming for the biennium guided by the strategic framework and based on the planning document in (b) above;
(d) Application of an enhanced system of monitoring and evaluation as described in alternative 1;
(e) An improved governance process as described in alternative 1.

Alternative 3

- A strategic framework
- A strategic four-year rolling MTP with indicative resources
- A strategic programme budget
- An enhanced system of monitoring and evaluation
- An improved governance process

(a) Preparation of a strategic framework as described in alternative 1;
(b) Preparation of a rolling four-year MTP in which the programmes are strategically reformulated based on the strategic framework. The new MTP will be submitted for approval two years before the relevant biennium, and will be updated and "rolled" every two years. The current budget outline will be eliminated and will be replaced by indicative resources included as part of the new MTP;
(c) The programme budget document will mainly be a budgetary document to operationalize a biennium slice of the MTP. It will avoid repetitive programmatic justifications and will focus on the outputs to be produced during the biennium and their linkages to the strategic objectives identified in the strategic framework;
(d) Application of an enhanced system of monitoring and evaluation as described in alternative 1;
(e) An improved governance process as described in alternative 1.

E. It should be stressed that none of the alternatives proposed above should be construed as diminishing in any way the oversight role exercised by Member States throughout the budgetary process. Strategic budgeting mainly implies that the organization's resources allocated for the biennium are harnessed to bring the organization closer to the attainment of its strategic objectives and the realization of its goals, which are identified in the strategic framework. An enhanced focus by CPC on assessing the programmes' performance, as part of improved governance and an enhanced monitoring and evaluation regime, would ensure that the organization is moving in the right direction and bolster the oversight role of Member States in this regard. At the same time, ACABQ, through its examination of the detailed budgeting information, will continue to provide Member States with assurances on the financial management and accountability of the secretariat. In addition, with a clearer linkage of resource allocations to expected results and more meaningful programme performance reports, the ACABQ will have an improved basis for its recommendations to Member States with regard to resource allocation decisions.

Introduction

1. In document A/57/387, the Secretary-General has presented his agenda for further reform of the United Nations, including the process of planning and budgeting which, in his view, was seriously flawed, because it was complex, protracted, disjointed, time-consuming and rigid. In its resolution 57/300,[1] the General Assembly, while welcoming the efforts and initiatives of the Secretary-General aimed at further reforming the United Nations, expressed caution with regard to some budgetary-related proposals, and requested the Secretary-General to further develop his ideas and report to its resumed 57th or 58th session. More specifically, the General Assembly requested the Secretary-General to submit to its 58th session a report detailing his proposal for a shorter, more strategic medium-term plan linked to the budget outline and to submit to its resumed 57th session a report clarifying his proposal for a single-stage intergovernmental review of the programme budget and MTP. The response of the Secretary-General to the latter request is contained in its report A/57/786 dated 15 April 2003.

2. The Inspectors concur with the Secretary-General on the need to reform the budgetary process of the United Nations with the aim of making planning and budgeting real strategic instruments in the service of the priorities and the programme of work of the Organization. They believe the various elements of the process need to be reviewed to better reflect and serve the shift to results-based budgeting (RBB) and management. They are of the opinion, however, that to take an informed decision, in addition to the proposals of the Secretary-General, other alternatives ought to be explored by Member States based in part on the experience and practice of other United Nations organizations that have overhauled their budgetary process.

3. This report provides such alternatives to the fifty-eighth session of the General Assembly, based on a clear identification of the shortcomings of the present process. Chapter I identifies the deficiencies associated with each of the elements of the budgetary process, as well as with the functioning of the parties involved in the process. It provides a more focused diagnosis of the problem, before proposing in chapter II some alternatives to improve the process.

4. In this context, the Inspectors reviewed the experience and practices of a number of specialized agencies and the International Atomic Energy Agency (IAEA) to improve their budgetary processes over the last three bienniums. The United Nations funds and programmes are not covered by the report, owing mainly to the voluntary nature of their funding and the different nature of the governance oversight to their budget.

5. For the preparation of this report, the Inspectors dispatched a questionnaire to the United Nations specialized agencies and IAEA. They reviewed the relevant budgetary documents of a number of these organizations and conducted interviews with their officials. The Inspectors also reviewed the elements of the budgetary process in the United Nations, and met with delegations and Secretariat officials.

6. The Inspectors wish to express their appreciation to all those who assisted them in the preparation of this report. They are grateful for the cooperation they received from so many in their efforts.

I. Shortcomings of the Current United Nations Budgetary Process

7. The Secretary-General has highlighted many of the weaknesses of the current United Nations budgetary process.[2] These and other deficiencies were emphasized during the Inspectors' interviews with United Nations officials and delegations, and corroborated by the Inspectors' review of the budgetary process in a number of United Nations organizations.

8. This chapter summarizes the main deficiencies associated with each of the elements of the budgetary process, as well as with the parties involved in the process. While some of the weaknesses have existed for some time, and are indeed well known, especially to those who have been involved in the process for some years, their negative impact is most salient in the context of a results-based approach. The chapter, therefore, aims to provide a more focused diagnosis of the problem, before proposing alternatives to improve the process in chapter II.

A. Planning and programming

An instrument conceived for another purpose

9. Currently, the medium-term plan (MTP) is the main planning and programming instrument for the United Nations budgetary process. Despite the United Nations' shift to an RBB approach, no attempt was made to review the relevance of the MTP, developed mainly to guide the shift of the United Nations from an object-of-expenditure budget to a programme budget approach in 1974. In addition, not enough thought has been given to the relevance of its contents to the new approach adopted by the Organization.

Lack of strategic guidance and ill-conceived programmes

10. While the 2002-2005 MTP format was adapted to reflect the techniques of a results-based approach, the changes introduced to the programmes were more form than essence. As its stands, no strategic guidance is provided for the formulation of programmes, and, in general, programmes remain poorly conceived to meet the short-term requirements of legislative mandates. The detailing of programmes, including at the sub-programme levels, leads to a voluminous document that undermines its value as a policy framework for the Organization.

Untimely and inflexible tool for detailed programming

11. Programme managers are required to formulate their programmes in detail three years before their coming into effect. The MTP is then submitted for intergovernmental review two years before its implementation biennium. This often leads to situations where the MTP falls behind new legislative developments at the time of its adoption, or shortly afterwards. Such legislative developments have to wait two years to be reflected in the revised MTP, by which time, and following the same cycle, other new legislative developments would be falling behind.

12. In this context, the Secretary-General has highlighted the failure of the MTP for the period 2002-2005 in reflecting the political consensus and budgetary implications of the Millennium Declaration.[3] More recently, the General Assembly, bearing in mind that lack of time precluded further revisions to the

MTP at the fifty-seventh session, requested the Secretary-General to prepare the 2004-2005 proposed programme budget for the Economic and social affairs programme so as to reflect the review by the General Assembly at its fifty-seventh session of the outcome of the International Conference on Financing for Development and the World Summit on Sustainable Development.[4]

Impractical tool for priority setting

13. The MTP is supposed to be the first occasion programme priorities are to be set. However, this has proved largely to be a theoretical exercise in view of the detachment of the MTP from the resource allocation process. For instance, while weeks of negotiations were spent to reach consensus on the priorities for the 1998-2001 MTP (which were replicated in the 2002-2005 MTP), almost no changes occurred in the resources allocated for the programmes related to these priorities in the following bienniums.

Unnecessary annual review of detailed programme aspects by Member States

14. Under the current process, Member States review detailed programme aspects, through the Committee for Programme and Coordination (CPC) and the Fifth Committee, every year. Within a biennium, the detailed programme aspects are reviewed in the context of the MTP or its revision, and then in the context of the programme budget the following year (with the outputs added). This is unnecessary, given that as indicated above many details have to be updated in the second stage of their consideration.

15. This leads to an unnecessary increase in the volume of documentation produced for Member States. In most cases the narrative of the detailed programme aspects in the MTP is replicated word for word in the programme budget document. It also incurs amplified costs related to the meetings of CPC and the Fifth Committee. The cost of the budgetary process for a biennium exceeds US$ 20 million.[5] On average, this is comparable to some 0.75 per cent of the budget, i.e., the level of the contingency fund. This cost would be significantly higher, however, if the national costs of Member States' internal review and participation in the process were considered.

B. Budgeting

The budget outline

A tool that has exhausted its purpose

16. The budget outline was inserted as an important element of the budget process elaborated in General Assembly resolution 41/213 of 19 December 1986. One of its main purposes was to help Member States, in advance, to achieve the consensus sought in that resolution on the overall level of the United Nations budget, in view of the financial constraints imposed on the Organization.

17. Since 1986, the desired consensus for the adoption of the United Nations budget has been well established as General Assembly practice, and the de facto application of zero real growth budgeting has made the overall budget level of future bienniums largely predictable.

A failed opportunity for meaningful priority-setting

18. The political purpose underlying the budget outline, and its main focus on financial aspects, largely explain its unfulfilled role of matching programmatic priorities with resource

priorities. Indeed, in accordance with the present budget cycle, the review of the MTP (or its revision) is conducted in the same year as the budget outline is considered. However, the negotiations on both documents are disconnected, with the priorities agreed in the MTP added artificially at the end onto an already agreed budget outline.

The programme budget

Lack of strategic budgeting

19. The programme budget document is a product of the MTP and the budget outline. Hence, lack of strategic orientation and poorly conceived programmes are reproduced in the programme budget document, and the document is also adjusted in form rather than in substance.

Budgeting information irrelevant to the results-based approach

20. The budget document continues to contain budgeting information that is not needed for a sound application of a results-based approach, and the link between the outputs and the results to be achieved, and the resources provided to achieve them, remain unclear.

C. Monitoring and evaluation

Lack of adequate mechanisms for routine self-evaluation

21. The existing tools for monitoring and evaluation, including some information systems in place, such as the Integrated Monitoring and Documentation Information System (IMDIS), were not designed for an RBB approach and are proving to be difficult to adapt to such an approach. This renders it more difficult for programme managers to conduct routine self-evaluation, and to feed the results of these self-evaluations back into their programmes and future plans.

Reporting mechanisms do not allow appropriate feedback to future programme budgets

22. The existing mechanisms for reporting on the performance of programmes are not conducive to a timely and systematic feedback of evaluation results into the future upcoming biennial budget. The lack of interim reporting on programme performance during the biennium hinders a timely adjustment of future programme orientation, if needed, and the current mode of reporting (collating the status of completion of thousands of outputs) does not foster strategic discussion on future plans and resource allocation; it is more analogous to bean-counting.

D. Parties involved in the process

The Secretariat

The need for further improvement of documentation

23. While it is recognized that results-based budgeting is being implemented in a gradual and incremental manner, and that commendable efforts are being made by the secretariat to improve the documentation presented to Member States since the approval of the results-based approach by the General Assembly in December 2000, notably with regard to the presentation of the programme budget,[6] further efforts are needed to continue to improve the documentation presented throughout the budgetary process.

24. For instance, with regard to planning and programming, and as elaborated in chapter II, more efforts are needed along the efforts made by the secretariats of

other United Nations organizations in reviewing their planning and programming instruments, as well as in streamlining, regrouping and reformulating their programmes in a strategic manner, and identifying shared and cross-cutting objectives.

25. The view was expressed most recently in CPC that further efforts should be made in future proposed programme budgets to draw clear linkages between objectives, expected accomplishments, indicators of achievements and outputs. Also, the absence in the introduction of the proposed programme budget for the biennium 2004-2005 of any reference to efforts to eliminate programmatic or administrative duplication, as requested by the General Assembly, was noted. Furthermore, the Committee recommended that the General Assembly request the Secretary-General to make proposals to the Assembly at its fifty-ninth session on the better alignment of programme performance and evaluation reporting with the budget cycle.[7]

Untimely outreach to Member States and the lack of trust

26. The Secretariat does not validate its ideas and thinking on the different aspects of the budgetary process with Member States at an early stage. In some cases, important ideas are proposed without enough elaboration or clarification, and initiatives are implemented despite concerns expressed by Member States. This provokes skepticism towards the Secretariat and undermines the trust of Member States in it.

27. For example, the General Assembly recently requested the Secretary-General to clarify his proposal for a single-stage intergovernmental review of the programme budget and MTP. Member States also expressed concern about the move by the Secretariat to provide the annex to the programme budget 2004-2005 containing the detailed technical costing information only to ACABQ, and the CPC considered it important to stress that this annex could also be provided to Member States at their request.[8]

The Committee for Programme and Coordination

Perceived duplication; and tedious working methods

28. Criticism usually levelled at the role of CPC in the process, and repeated to the Inspectors, though with varying emphasis, by officials interviewed and some delegations, is mainly two-fold: duplication with the Fifth Committee; and tedious working methods (drafting committee).

The Fifth Committee

Assuming the roles of CPC and the Advisory Committee on Administrative and Budgetary Questions (ACABQ); focus on minute detail; eleventh hour dollar level

29. Criticism raised in relation to the role of the Fifth Committee in the process is mainly that: Member States duplicate the work of CPC in the consideration of the programmatic aspects of the programme budget; Member States focus on minute budgeting information (e.g., upgrading of posts, number of posts needed for a subprogramme, etc.) instead of focusing on strategic issues; Member States appear to usurp the role of ACABQ through their review of detailed budgeting information; the overall level of resources decided by Member States is not commensurate with the results of their section-by-section

analysis and the time and effort spent in this process. A dollar level is reached at the eleventh hour without regard to programmatic considerations and objectives to be achieved during the biennium.

Advisory Committee on Administrative and Budgetary Questions

Almost non-stop meetings

30. The burdensome United Nations budgetary process has also negatively affected ACABQ. It is now forced to work in a practically non-stop mode with concomitant increased costs for Member States.

Inability to fulfil its mandate related to Article 17 of the United Nations Charter

31. Despite regular missions by members of ACABQ to the specialized agencies and IAEA, the heavy workload related to the United Nations budgetary process has diminished the quality and scope of advice provided by ACABQ to the General Assembly in the exercise of its oversight functions vis-à-vis the budgets of specialized agencies in accordance with Article 17 of the Charter.[9] In the opinion of some delegations, this is an especially unwelcome development, as it prevents the General Assembly, among others, from becoming acquainted with new developments in the budgets of the agencies and IAEA.

II. Improving the United Nations Budgetary Process: Alternatives

32. Given the analysis of deficiencies in chapter I, and the review of experience and practices in a number of other United Nations organizations, the Inspectors believe three main alternatives could be explored by the General Assembly to improve the planning, programming, budgeting, monitoring and evaluation process of the United Nations. Those alternatives and their rationale are elaborated below.

A. Alternative I

1. Planning and programming

The need for a strategic framework

33. The United Nations shifted to RBB in the absence of an explicit strategic framework and objectives to guide its work for the future. The interviews conducted by the Inspectors in the preparation of this report revealed some scepticism on the part of Secretariat officials and some Member States, about the value of elaborating long-term or strategic plans for the United Nations, as the Organization is facing a dynamic and changing global environment. Some apprehension was also expressed that cumbersome and protracted negotiations could possibly accompany such an exercise.

34. On the other hand, there was a widely shared view, conveyed to the Inspectors by delegations and Secretariat officials, that the Millennium Declaration Goals (MDGs) coupled with the goals and objectives identified in the series of major United Nations conferences and summits held since the early 1990s, could serve as a long-term overall planning guide for the United Nations. There was also clear recognition of the need to link the MDGs and other globally agreed targets and objectives to the work and activities of the Organization. Therefore, the Inspectors believe that there is enough consensual ground on which the Secretariat could base itself and formulate, in close consultations with Member States and with their early involvement in the process, a strategic document that would set the direction for the Organization's programme planning in the longer term.

35. This view is strongly corroborated by the experience of other United Nations organizations where the shift to a results-based approach was undertaken and guided by a strategic framework providing vision and overall direction to the organization in the long- and/or mid-term. The Food and Agriculture Organization of the United Nations (FAO) formulated and adopted a Strategic Framework 2000-2015; the World Health Organization (WHO) developed a corporate strategy; and IAEA developed a Medium-Term Strategy (MTS) for 2001-2005. Other organizations have done the same, e.g., the World Intellectual Property Organization (WIPO), the International Labour Organization (ILO), the International Civil Aviation Organization (ICAO) and the Universal Postal Union (UPU) (see annex). The International Maritime Organization (IMO) is in the process of developing a strategic plan on a six-year basis.

36. Through the strategic framework documents, Member States sought to provide their organizations with clear and well-defined long-term policy frameworks that would guide their programme planning during the period covered. They tried to address the questions as to where their organizations should be going and what they should be

doing. Common elements in most of these documents were relative conciseness, identification of the global context, goals relevant to the organizations, and the strategic objectives to be pursued to attain these goals. Many of these documents identified criteria for priority- setting, an exercise pursued later in conjunction with the first resource allocation stage. Built into the process was the understanding and recognition that such documents could be flexible enough to reflect evolving and changed circumstances. This recognition, however, did not diminish their value as necessary guiding instruments for planning in an RBB approach.

37. Indeed, the value of strategic guiding documentation was implicitly recognized by the General Assembly itself in recommending that the Secretary-General's report entitled "Road map towards the implementation of the United Nations Millennium Declaration"[10] be considered as a useful guide in the implementation of the Millennium Declaration.[11] Despite recognized limitations of the document in the United Nations context,[12] programme managers in the United Nations were encouraged to take this into account in the review of their programme activities for the 2004-2005 programme budget.[13]

38. The Inspectors are convinced that the formulation of a strategic framework for the United Nations, along the lines described above, is an essential element for an effective shift towards an RBB approach, and a much needed basis for improving the other elements of the budgetary process of the United Nations.

Programming

39. The formulation of a strategic framework should facilitate the reformulation of programmes in a strategically conceived manner that would go beyond the short-term requirements of some existing legislative mandates. The strategic objectives should be cascaded down to the various programme and sub-programme levels through a series of related objectives. This would ensure that an activity at the final end of the organization's work would be linked in a meaningful way to the strategic objectives and that the output of such an activity would contribute to the attainment of the overall goals of the organization. There is also a need to put more emphasis on cross-cutting and shared objectives among various programmes. Such a programming review is the key to improving the United Nations budgetary process.

40. Most of the other United Nations organizations reported that the major factor in improving their budgetary process related to the streamlining, restructuring and/or reformulation of their programmes. FAO introduced a New Programme Model (NPM), developed to reflect a results-based approach to budgeting. As part of its new programming approach, FAO also identified sixteen Priority Areas for Interdisciplinary Actions (PAIAs). With the major shift towards strategic budgeting starting in WHO in 2002-2003, programmes were regrouped and the three levels of the organization–global, regional and country–were integrated, with the same overall objectives, expected results and indicators. ILO reformulated and regrouped its programmes under four strategic objectives and 10 operational objectives, in addition to six cross-cutting or shared policy objectives. While in the United Nations Industrial Development Organization (UNIDO), two Main Programmes were derived from its Business Plan.

41. The Inspectors are convinced that such reformulation, restructuring and/or streamlining of United Nations progammes, guided by strategic objectives/directions, are necessary to shift the focus of Member States to outcome-driven programming, as called for in RBB. Programme budget presentation and the linkage between the various elements of the process would be improved.

The programming instrument

42. The Inspectors believe that the MTP should be eliminated as the main programming instrument in the United Nations given its shortcomings that are highlighted in chapter I.

43. Instead, programming should be done directly in the context of the programme budget document. This would enable programmes to be formulated as near as possible to their time of implementation, without losing the strategic direction provided by the strategic framework. It would also avoid the annual review of detailed programme aspects by Member States during a biennium. And it should improve the strategic consideration of the programmes, through inter alia a coherent assessment of the link between the outputs proposed in the programme budget and the strategic objectives and overall goals of the Organization.

44. Most of the other United Nations organizations, including IAEA, WHO and WIPO, followed this approach. In doing so, WHO expressed the belief that the purpose of translating policy into practice was best served through the programme budget and operational plans, prepared closer to the time of implementation.[14]

45. In fact, this approach has been partially followed at the United Nations itself in the 2004-2005 programme budget for the Economic and social affairs programme reflecting the review by the General Assembly at its fifty-seventh session of the outcome of the International Conference on Financing for Development and the World Summit on Sustainable Development. This incidental, yet illustrative, practice should be institutionalized and applied as a principle for programming in the United Nations.

2. Budgeting

The budget outline

46. The Inspectors believe that the budget outline in the United Nations has exhausted its mainly political purpose. A shift to an RBB budgeting approach necessitates an underlying high level of trust between Member States and the Secretariat, especially in financial planning and discipline. Prediction of resources should be based, in principle, on the overall level of the previous programme budget.

47. In cases where the Secretariat estimates that a change in the overall level of the upcoming budget compared to the preceding budget is needed and justified, it should proceed with transparent consultations at an early stage of the budgetary process with Member States and groups of Member States to alert them of such a change and its justification, and take their feedback into account before finalizing its programme budget proposal. Such a practice has been successfully applied in IAEA and is consistent with the call to improve the working methods of the Secretariat and promote more trust between it and the Member States, as recommended by the Inspectors below.

48. The recommended use of the programme budget as the main programming instrument also implies that the programme budget would be the first occasion programmatic priorities are matched with resource priorities. Therefore, the Inspectors recommend the elimination of the budget outline from the United Nations budgetary process.

49. In fact, the Inspectors did not find any similar practice in the United Nations organizations reviewed for the purpose of this report. FAO had an outline Programme of Work and Budget in the early 1990s, but this was abolished in 1997 upon the recommendation of the FAO Council, which deemed the outline duplicative in the budgetary process.[15] A similar decision by the General Assembly would provide a streamlined budgetary process, and is strongly recommended by the Inspectors.

The programme budget

50. The nature and quality of the programme budget document are a function of the planning and programming approach followed by the Organization. Therefore, strategically conceived and well-formulated programmes, with cross-cutting and shared objectives, should lead to an improved strategic budget document where the organization's resources allocated for the biennium would be harnessed to bring the organization closer to the attainment of its strategic objectives and the realization of its goals, which are identified in the strategic framework. As recommended under this alternative, the programme budget document would become the main programmatic instrument for the United Nations, in which programmes would be detailed in the first instance for the biennium.

51. As for the level of budgeting information made available in the core document, it is clear that a results-based budget analysis requires in essence a reduced level of financial data, consistent with the necessary shift in the focus of Member States to outcome-driven programming and a streamlined presentation of the programme budget document.

52. This has been the case in many organizations (IAEA, ILO and WHO for example) where the amount of budgeting information presented to Member States in the printed programme budget document was reduced considerably (including that on staffing in many instances), or made available to them through other means. In IAEA, more extensive budgeting information is contained in an electronic Management Part on the Agency's official website and is accessible to Member States. The IAEA secretariat also responds informally to any Member State's request for financial data.

53. In the case of the United Nations, the very detailed financial data would continue to be provided to ACABQ. This does not mean that Member States cannot and should not have access to this information; Member States could request these data to be included on a web site as is done in IAEA, or explore other means to this end. They will also have to optimize their use of ACABQ expertise in reviewing this type of data.

54. It is clear, however, that omitting the very detailed financial data from the programme budget document is in line with the concept and nature of RBB as the focus shifts to accountability and results for the resources provided. In this context, the Inspectors stress the absolute need to foster a culture of trust between

the Member States and the Secretariat, that is sorely lacking and needed to ease the cultural transition to the RBB approach.

55. Providing more and more financial data is not the answer. Better, more focused and more strategic documentation, understandable to the membership at large is critical. It would also serve the interests of the majority of Member States who do not have the staff resources to cover United Nations activities in detail. Also critical is the fact that Member States will not exercise any less oversight throughout the budgetary process as a result of this change or any other change to the current process that the Inspectors are recommending.

3. Monitoring and evaluation

56. The Secretary-General expressed his intention to develop a strengthened system of evaluation and monitoring.[16] The Inspectors believe that the first step in establishing an enhanced evaluation regime would be to lay down a solid internal monitoring and evaluation infrastructure across the board in the Secretariat, through inter alia appropriate information systems and well-trained management, conscious of the needs and value of self-evaluation. Improved systematic self-evaluation by programme managers should constitute the basis for such an enhanced regime, to be complemented and overseen by periodic internal and external evaluations.

57. The enhanced regime should also enable the Secretariat to report on programme performance and implementation to Member States at more frequent intervals, to provide them with timely policy guidance for future plans and adjust their resource allocation decisions. This is critical if the programme and budget are to remain relevant to current needs. Member States cannot afford to fund completed, obsolete, marginally useful or ineffective programmes. A strengthened system of programme monitoring and evaluation would be more capable of identifying such programmes, and would allow a meaningful shift of resources.

58. Several organizations recognized at the outset that the shift to RBB required an enhanced monitoring and evaluation regime. WIPO develops annual work plans in tandem with the preparation of the programme budget, that are used for planning and monitoring activities during the biennium. The systematic use of annual work plans provides an internal tool that facilitates the monitoring, by the office of the controller amongst others, of progress in undertaking planned activities across the organization. More significantly, the WIPO secretariat reports to Member States on programme performance and implementation at several intervals during the biennium cycle. Such reporting increases the opportunities for Member States to take into account during the budgetary process the results of the assessments for inclusion in upcoming and future plans and to guide their resource allocation decisions accordingly. Similar systems allowing more frequent and quality reporting to Member States are being developed in organizations like FAO and IAEA.[17]

4. Parties involved in the United Nations budgetary process

59. The preparation of a future biennium United Nations programme budget starts internally within the Secretariat by September of the first year of the ongoing biennium (September 2002 for the 2004-2005 biennium). This is about 16 months before the start of the biennium to which it relates, which is largely in line with the

practice in most United Nations organizations.[18]

60. Member States are involved in the budgetary process at the United Nations mainly through CPC and the Fifth Committee (Administrative and Budgetary Committee). This is also in line with the practice in most United Nations organizations where review of programmatic and/or financial aspects is made over a two-stage inter-governmental process.[19] In addition, the Fifth Committee is assisted by an expert examination of the programme budget in ACABQ.

The Secretariat

Quality of documentation

61. The need and potential to provide better and more adequate documentation by the Secretariat is addressed in the review of the various elements of the budgetary process above. The Inspectors believe that the proposals recommended above in relation to planning, programming, budgeting, monitoring and evaluation should significantly improve the quality of documentation presented by the Secretariat for each of the elements of the process, and should lead to clearer and more focused documentation for Member States.

62. In the preparation of the programme and budget, and the programmes' conception and formulation, the Secretariat could consider more inclusive practices, at both the departmental and the Organization levels, so that all pertinent actors are involved in the process. WIPO establishes a Task Force to provide a broader perspective and enhance programme coordination in the development of the programme and budget. A similar practice can be found in ICAO, where a Senior Management Group provides internal overall support to the process, by ensuring consistency with strategic directions and advising on operational objectives.

Outreach to Member States and the question of trust

63. While improved documentation by the Secretariat would facilitate the fostering of trust between the Secretariat and Member States, the early involvement of Member States in the development of such documentation, including the strategic framework and the programme and budget, is essential throughout the process. To achieve this, the Secretariat needs to share its thinking at an early stage with Member States, and to seek their feedback, especially through timely informal consultations and briefings, and by providing conceptual and explanatory notes to Member States. Such informal dialogue should involve, in addition to the delegations to the Fifth Committee, the delegations to other substantive committees of the General Assembly with regard to the strategic conception and reformulation of their relevant programmes. This would ensure transparency in the process, while allowing the Secretariat to better identify the concerns and priorities of Member States.

64. Such a consultative approach has proved most fruitful in several other organizations, in particular in FAO, IAEA and WIPO. All three organizations reported that, while their consultative and outreaching approach to apply RBB most probably incurred more internal costs, especially in terms of staff time initially,[20] increased interaction with Member States at various stages of the process had enabled better identification of their needs and priorities. This, in turn, is being reflected in improved programme formulation and delivery,

supported by a better monitoring and evaluation regime. In addition, they all emphasized that such an approach had led to increased confidence, trust and sense of ownership in the organization and its work among Member States.

Committee for Programme and Coordination

Duplication with the Fifth Committee, and tedious working methods (drafting committee)

65. Concerning duplication with the Fifth Committee, many delegations and a few Secretariat officials pointed out that since 1997, CPC had achieved consensus on all the programmes included in the MTP with the exception of one or two programmes, where the absence of political will had hindered such consensus. Consequently, those programmes were adopted by the Fifth Committee without much discussion.

66. The Inspectors find it hard to perceive how a direct review of all the programmatic aspects by the Fifth Committee, given its universal composition, would lead to more efficiency in the budgetary process. For instance, costing information provided by the Secretariat to the Inspectors shows that out of the US$ 10 million estimated for the annual cost of the budgetary process, more than one third (US$ 3.5 million) is related to the formal meetings of the Fifth Committee. One can only expect this figure to increase significantly if the Fifth Committee is to consider the programmatic aspects, formally and informally, from scratch.

67. In addition, some delegations expressed concern about the competence of the Fifth Committee in reviewing the substantive programmatic aspects of the work of other General Assembly committees. They noted that CPC is a subsidiary body of the Assembly where Member States are encouraged to be represented "at an adequate level in order to raise the expertise of that Committee".[21] The responsibility to ensure this quality representation rests on the shoulders of the members of CPC, and on the General Assembly electing the members every three years of its "main subsidiary organ" for planning, programming and coordination.[22]

68. As for the tedious work methods of CPC, the Committee has embarked in the last few years on an exercise to review its working methods. However, in the context of the review conducted in this report, it appears that one of the key factors underlying the poor working methods of the Committee in reviewing United Nations programmes, is related to the quality of documentation provided to the Committee, and the nature of this documentation.

69. The synthesized "copy and paste" approach (copy from legislative mandates and paste in the MTP) exercised in the preparation of the MTP, was followed by CPC members in their review of the programmes, turning the Committee largely into a drafting committee. It is hoped, therefore, that strategically conceived programmes designed by the Secretariat will lead to strategic discussions among Member States and to the provision of improved policy guidance.

70. Moreover, once the recommended strategic framework is adopted, the proposal to eliminate the MTP and to use the programme budget as the main programming instrument for the Organization would entail a single-time review of the programmatic aspects during a biennium. This would allow the Committee to devote more time to and

focus on enhancing its evaluation (and coordination) function, notably during the first year of a biennium (even years).

71. This coincides with the widely shared view on the need to enhance the role of CPC in monitoring and evaluation. However, such a role could only be enhanced as part of a strengthened overall monitoring and evaluation regime as highlighted above. Such a role cannot be of value to the budgetary process unless the evaluation results are fed back in to the upcoming and future programmes. It is hard to perceive, therefore, an efficient role for CPC in monitoring and evaluation, without it being involved from the outset in the planning and programming aspects of the budgetary process, and vice versa.

72. Hence, there is a need to fully entrust CPC with its mandated role as the main subsidiary organ of the General Assembly for planning and programming. This can only be done through responsible and self-imposed discipline by Member States to adhere to practices that avoid any potential duplication between CPC and the Fifth Committee in planning and programming, as discussed below.

Fifth Committee

73. The issue of duplication between the Fifth Committee and CPC is partially addressed above. While de jure it may not be possible, nor advisable, to eliminate all duplication, it is obvious that a level of self-discipline and responsibility to be exercised by delegations in the Fifth Committee is necessary to avoid such potential duplication de facto. This has proven to be possible if the political will exists. For instance, the practice of consensus in the adoption of the United Nations budget was tacitly embedded in General Assembly resolution 41/213 through the "broadest possible agreement" formula inserted without prejudice to the decision-making process enshrined in the Charter of the United Nations or in the Rules of Procedure of the General Assembly.

74. In addition, in the consideration of the 2002-2003 programme budget, the section-by- section formal presentation to the Fifth Committee was skipped all together, despite reluctance on the part of some delegations, based on the understanding that programme managers would be made available to answer any specific questions that arose in the informal consultations. Delegations should refrain during the informal consultations from repeating general statements and positions already expressed in the formal meetings, and focus instead directly on bridging the gaps between various positions. Member States should be encouraged by the General Assembly to adhere to such practices to improve and streamline the negotiating process on the programme budget.

75. Concerning the review of the financial aspects of the programme budget, it has been an established practice for a long time in the Fifth Committee that the ACABQ reports and recommendations are the basis and entry point for the discussions of such aspects. However, there has been a deviation from this practice over the last years, leading to longer protracted discussions, increasing the tendency for micromanagement in budget consideration and steering the discussions away from the means-end analysis sought in the results-based approach. Member States should be encouraged to adhere, as far as possible, to the previous practice. Otherwise, Member States will need to address seriously the factors that have led to this

deviation if the General Assembly is to optimize the use and outputs of this expert body.

76. Finally, the Inspectors noticed, in the course of the preparation of this report, that some representatives of Member States in the Fifth Committee were largely unacquainted with the budgetary process of the Organization or with the needs associated with the shift to RBB. This is normal in view of the periodic change of representatives of Member States in the Committee. In its report on results-based budgeting: the experience of United Nations system organizations,[23] the Joint Inspection Unit (JIU) recommended that the United Nations Staff College and the United Nations Institute for Training and Research (UNITAR) should be invited to conduct seminars and workshops to help familiarize staff and representatives of Member States with RBB.

77. While the Inspectors were informed that some training on RBB was indeed provided to programme managers and other staff, no such informative orientations are yet provided to representatives of Member States in the Fifth Committee. Such workshops could help to bring the desired shift of focus by the representatives of Member States closer to a results-based approach. The Bureau of the Fifth Committee could play a more active role in arranging for such workshops before the start of a new session of the General Assembly, and also in facilitating informal briefings by Secretariat officials for Member States.

Advisory Committee on Administrative and Budgetary Questions

78. It is hoped that a strategically formulated budget and an improved budgetary process, as proposed above, together with continued refinement of RBB techniques, will ease the workload of ACABQ related to the United Nations budgetary process. This could possibly allow it to streamline its sessions and devote more time to fulfilling its mandate related to Article 17 of the United Nations Charter. In this context, ACABQ could be invited to report to the General Assembly on the results of its missions to the specialized agencies and IAEA, including the latest developments in the budgets of these organizations, as well as practices or techniques that could be useful in the context of the United Nations budget.

B. Other alternatives

79. The bulk of the proposals to improve the United Nations budgetary process suggested above under alternative 1 would apply to alternatives 2 and 3 below, with changes introduced mainly in relation to the programming instrument and its link to resource allocation, as follows:

Alternative 2

80. Under this alternative, the main instrument for detailed programming would remain the programme budget document, and the MTP would still be eliminated. However, prior to the programme budget preparation, the Secretariat would submit to the Fifth Committee, through CPC and ACABQ, a short planning document for the following biennium, guided by the strategic framework recommended under alternative 1, and indicating the strategic orientation and conception of the programmes for the biennium developed at the main programme level.

81. This document would also include the indicative resources required for the biennium, linked to each main programme (an adapted budget outline). It would be submitted two years before the biennium to which it relates, and would be the basis for the preparation of the detailed programme budget document. It would also serve as the tool for setting programmatic priorities by matching them with resource allocation. A similar practice to such an alternative is applied in IAEA.

82. While this alternative may imply the benefit of providing Member States with early indications about the programmatic orientations and the resources required for the biennium, it goes, in the opinion of the Inspectors, against a more streamlined and efficient budgetary process, given that the new document will have to be vetted again through both CPC and ACABQ two years before its relevant biennium, adding an extra work load to these two bodies at the possible expense of other functions.

Alternative 3

83. Under this alternative, the programmes in the four-year MTP would be conceived and strategically reformulated, guided by the strategic framework recommended under alternative 1, and indicative resources for the four years would be included in the MTP as a means to tie the programmatic priorities to corresponding (though indicative) resources. The MTP would be considered as a rolling text, revised and updated every two years.

84. The programme budget document would be developed based on the MTP with less programmatic justifications and more focus on budgetary information and the linkages between the outputs proposed for the biennium, their resources and the strategic objectives that they are striving to attain. It would mainly operationalize a slice of the MTP for the biennium. Such an approach is followed by FAO in its budgetary process.[24]

85. While this alternative implies considerable qualitative changes to the current programming and budgeting instruments in the United Nations, it changes little in the current cumbersome process associated with the annual review by the relevant bodies of the detailed programme aspects of the MTP and the programme budget thereafter. Therefore, the Inspectors are not in favour of such an approach in the case of the United Nations.

END NOTES

[1] A/RES/57/300 of 20 December 2002.

[2] Report of the Secretary-General entitled "Strengthening of the United Nations: an agenda for further change" (A/57/387 of 9 September 2002), paras. 155-165.

[3] Ibid., para. 160.

[4] A/RES/57/282. See also the "Proposed programme budget for the biennium 2004-2005, part IV, section 9, economic and social affairs" (A/58/6 (Sect. 9) of 9 April 2003).

[5] A/57/387 of 9 September 2002, para. 162.

[6] In its resolution 56/253 of 24 December 2001, the General Assembly noted with satisfaction the clarity of the presentation of the proposed programme budget, and welcomed the continued efforts made by the Secretary-General to improve the format of the proposed programme budget. Further elements to strengthen the programme budget presentation were introduced in the proposed programme budget for 2004-2005, A/58/6 (Introduction, para. 88).

[7] Report of the Committee for Programme and Coordination A/58/16 of 10 July 2003, Forty-third session (9 June to 3 July and 9 July 2003), paras. 41, 53 and 71.

[8] Ibid., para. 90.

[9] This issue was also raised in the JIU report entitled "Enhancing governance oversight role: structure, working methods and practices on handling oversight reports" (A/57/58 of 18 March 2002).

[10] Report of the Secretary-General (A/56/326 of 6 September 2001).

[11] General Assembly resolution 56/95 of 14 December 2001.

[12] The report was prepared, as requested by the General Assembly in its resolution 56/95 of 14 December 2001, as a long-term road map towards the implementation of the Millennium Declaration within the United Nations system. The goals and strategies prescribed in it, therefore, go obviously beyond the capacity of the United Nations per se. Moreover, the report, through its mandated focus on the MDGs, did not include the goals and targets agreed upon in the global conferences and, hence, did not elaborate strategies to pursue them.

[13] The United Nations Budget Instructions for 2004-2005, Introduction.

[14] "A corporate strategy for the WHO Secretariat: Report by the Director-General" (EB105/3 of 10 December 1999). See also EB105/2000/REC/2.

[15] Report of the Conference of FAO, twenty-ninth session, Rome, 7-18 November 1997 (C97/REP, para. 119).

[16] A/57/387 of 9 September 2002, para. 167 (e).

[17] In 2001, the Director-General of FAO elaborated through a bulletin (DGB No. 2001/33 dated 5 November 2001) the elements of a strengthened evaluation system for FAO. It contained, among others, the purpose and scope of evaluation, its coverage, the staff participation in the process, and the reporting to management, governing bodies and other stakeholders. In IAEA, the elements of a newly enhanced evaluation regime were submitted to Member States in 2002 in the "Reporting on programme results in the framework of the results-based budgeting" (GOV/INF/2002/5).

[18] With the exception of UPU (eight months), the preparation of the draft programme and budget for each biennium starts in the organizations reviewed from 15 (case of WIPO) to 19 months (case of IAEA) before the beginning of the biennium to which it refers.

[19] See annex. For more details about the oversight governance structure in the United Nations system organizations, see the JIU report entitled "Enhancing governance oversight role: structure, working methods and practices on handling oversight reports" (A/57/58 of 18 March 2002).

[20] No organization has an accounting costing system in place for its budgetary process.

[21] General Assembly resolution 3392 (XXX) of 20 November 1975.

[22] See terms of reference of CPC, annex to Economic and Social Council resolution 2008 (LX) dated 14 May 1976.

[23] JIU/REP/99/3; A/54/287.

[24] FAO has a six-year rolling MTP.

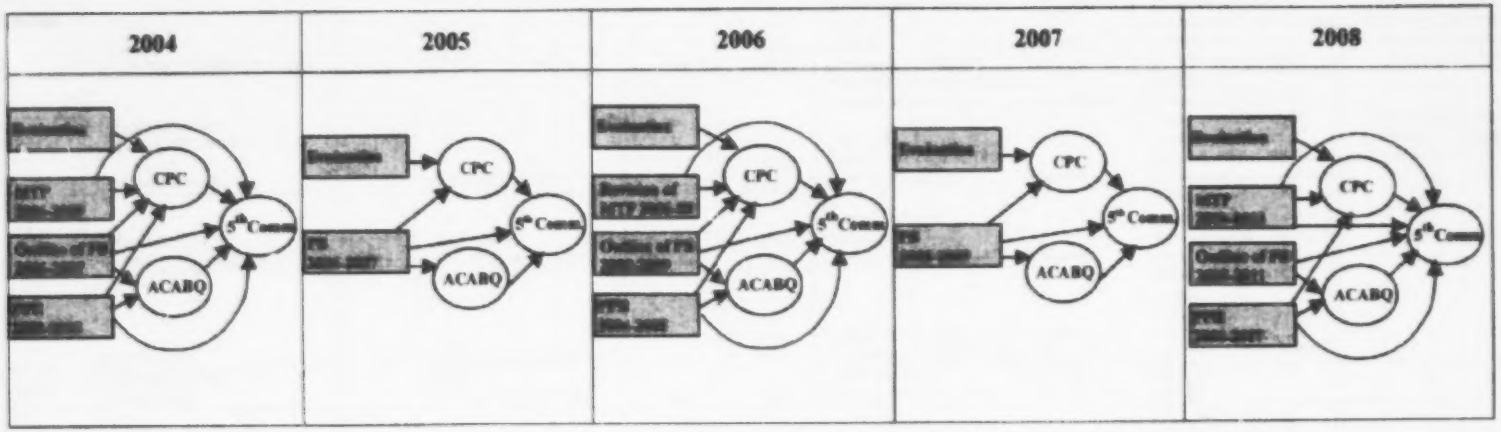
ANNEX

Elements of the budgetary process in a number of United Nations organizations

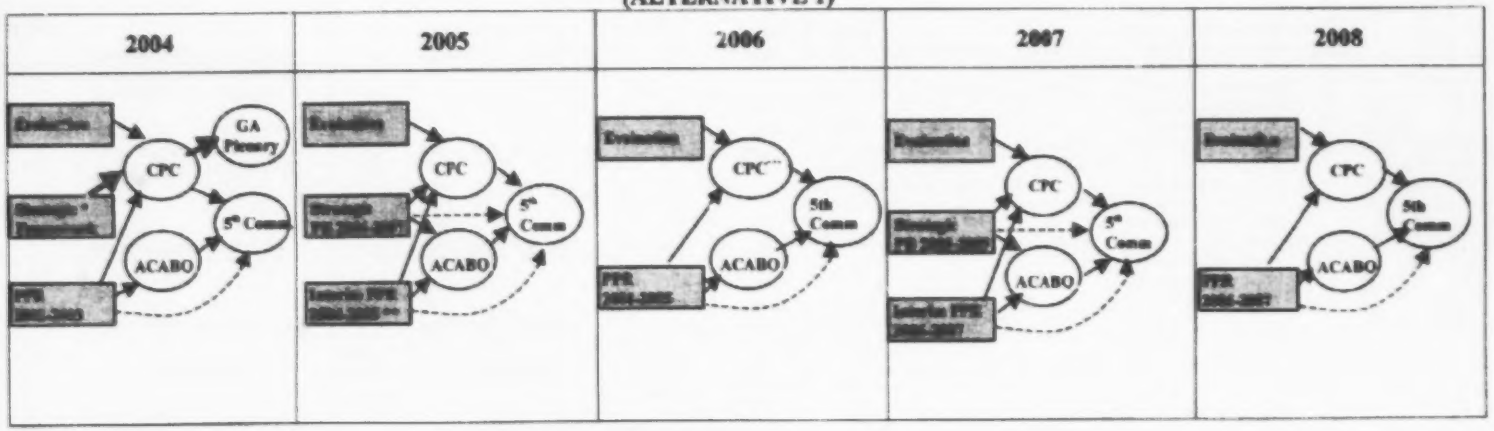
Org.	Planning and programming		Budgeting (regular budget 2002-20003*)			Monitoring and evaluation		Bodies involved in budget process	Comments
	Documents	Volume (approx pp.)	Documents	Volume (approx. pp.)	Level of budget in millions	Documents	Frequency		
United Nations	Medium-term plan 2002-2005	310	Programme Budget	2 000	2,890.8 US$	Programme Performance Report	Biennial	CPC ACABQ Fifth Committee General Assembly	
FAO	Strategic Framework 2000-2015 Medium Term Plan 2004-2007	59 172	Programme of Work and Budget	269	736.1 US$	Programme Evaluation Report Programme Implementation Report Thematic evaluations	Biennial Biennial As selected	Programme Committee Finance Committee Council Conference	The six-year rolling MTP is formulated on the basis of the NPM developed to fully reflect a results-based approach to budgeting
IAEA	Medium Term Strategy 2001-2005 Planning document for the programme budget biennium	23 30	Programme and Budget	200	443.6 US$	Mid-Term Progress Report Programme Performance Report (PPR)	Interim Biennial	Programme and Budget Committee Board of Governors General Conference	PPR introduced for 2002-2003
ICAO	Strategic Action Plan (SAP)	9	"Triennial" Programme Budget (2002-2004)	236	174.8 Can$	Performance Assessment Report	Annual	Finance and various other committees (as required) Council Assembly	
ILO	Strategic Policy Framework 2002-2005	34	Programme and Budget	175	434.0 US$	Programme Implementation Report	Interim and biennial	Programme, Financial and Administrative Committee Governing Body ILO Conference	
IMO	Strategic Plan (being developed)		Work Programme and Budget	289	39.9 £	Status Report on Major Programmes	Interim and biennial	Council Assembly	
UNIDO	Business Plan	3	Programme and Budgets	92	133.7 euros	Financial and Programme Performance Report	Interim and biennial	Programme and Budget Committee Industrial Development Board General Conference	
UPU	Mission, Objectives, Strategy, Tactics (MOST)	N/A	Programme and Budget (2003-2004)	106	71.4 SwF	Programme Evaluation Report (Under review)	Annual	Postal Operations Council (Coordination Committee & Management Committee) Council of Administration	
WHO	Corporate strategy General Programme of Work (GPW) 2002-2005	10 10	Programme Budget	113	855.7 US$	Programme budget performance evaluation reports Programmatic and thematic evaluation reps.	Biennial As selected	Programme Development & Administration, Budget and Finance Committees Regional Committees Executive Board Assembly	The GPW is based on the corporate strategy and identifies priorities for the programme budget
WIPO	Vision and Strategic Direction of WIPO	12	Program and Budget	258	672.2 CHF	Program Performance Report Program Implementation Overview	Interim and biennial For period Jan.-June each year	Program and Budget Committee Assemblies of the Member States of WIPO (17 Assemblies)	Program and Budget includes financial indicators beyond the biennium 2004-2005 for further four years

* Unless otherwise specified

CURRENT BUDGETARY PROCESS



PROPOSED BUDGETARY PROCESS
(ALTERNATIVE 1)



* The Strategic Framework would be submitted, through CPC, to the Plenary of the General Assembly

** Enhanced Monitoring and Evaluation Regime

*** Enhanced focus by CPC on Monitoring and Evaluation in even years

---------- discussion mainly based on CPC and ACABQ reports and recommendations